



# புதுச்சேரி மாநில அரசிதழ்

## La Gazette de L'État de Poudouchéry

### The Gazette of Puducherry

#### PART - I

சிறப்பு வெளியீடு

EXTRAORDINAIRE

EXTRAORDINARY

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வெளியீடு

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#### GOVERNMENT OF PUDUCHERRY INDUSTRIAL DEVELOPMENT (POWER) DEPARTMENT

No. 21016/ID(P)D/09/P3/(1).

*Puducherry, the 19th April 2010.*

#### NOTIFICATION

The Joint Electricity Regulatory Commission for the State of Goa and Union Territories (Terms & Conditions for Determination of Tariff) Regulations, 2009, notified by the Joint Electricity Regulatory Commission for the State of Goa and Union Territories, is hereby republished for general information of the public.

(By order)

**S. ALPHONSE,**  
Under Secretary to Government (Power).



**JOINT ELECTRICITY REGULATORY COMMISSION**  
**(For the State of Goa and Union Territories)**

**NOTIFICATION**

Gurgaon, the 8th February, 2010

**No. JERC-10/2009.**— In exercise of powers conferred on it under Section 61 read with Section 181 of the Electricity Act, 2003 (36 of 2003) and all other powers enabling it in this behalf, the Joint State Electricity Regulatory Commission for the State of Goa and Union Territories hereby makes the following regulations, laying down Terms and Conditions for Determination of Tariff, namely:

**CHAPTER I**

**PRELIMINARY**

**1. Short Title, Commencement and Extent**

- (1) These Regulations shall be called the Joint Electricity Regulatory Commission for the State of Goa and Union Territories (Terms and Conditions for Determination of Tariff) Regulations, 2009.
- (2) These Regulations shall come into force from the date of their publication in the Official Gazette.
- (3) These Regulations shall extend to the whole of the State of Goa and the Union Territories of Andaman and Nicobar Islands, Chandigarh, Dadra and Nagar Haveli, Daman and Diu, Lakshadweep and Puducherry.

**2. DEFINITIONS.** - In these regulations, unless the context otherwise requires,

- (1) **"Act"** means the Electricity Act, 2003 (36 of 2003) ;
- (2) **"Bank rate"** means the bank rate of Reserve Bank of India ;
- (3) **"Combined average unit cost of supply"** means the total revenue requirement for the year adjusted by the revenue gaps of the previous years, divided by the total energy sale during the year.
- (4) **"Commission"** means the Joint Electricity Regulatory Commission for the State of Goa and the Union Territories of Andaman and Nicobar Islands, Chandigarh, Dadra and Nagar Haveli, Daman and Diu, Lakshadweep and Puducherry constituted by the Central Government under sub-section (5) of Section 83 of the Act;



- (5) **"Conduct of Business Regulations"** means the Joint Electricity Regulatory Commission for the State of Goa and Union Territories (Conduct of Business) Regulations, 2009 ;
- (6) **"Current Year"** means the year in which the Aggregate Revenue Requirement petition or petition for determination of tariff is to be filed ;
- (7) **"Ensuing Year"** shall mean the year immediately following the current year ;
- (8) **"Force Majeure Event"** means event beyond the reasonable control of the generating company or the licensee, including, but not limited to earthquake, cyclone, flood, storm, war, terrorist attack, civil commotion or other similar occurrence that lead to any act that would involve a breach of relevant laws or Regulations ;
- (9) **"Integrated Utility"** means the Department of Power in the State of Goa and the Union Territories of Andaman and Nicobar Islands, Chandigarh, Dadra and Nagar Haveli, Daman and Diu, Lakshadweep and Puducherry , in its present form or the successor entities performing more than one of the functions of generation, transmission and distribution after restructuring thereof ;
- (10) **"Open Access Customer"** means a) a consumer permitted by the Commission to receive supply of electricity from a person other than distribution licensee of his area of supply, or b) a generating company (including captive generating plant) or c) a licensee, who has availed or intends to avail of Open Access in accordance with the regulations as may be notified by the Commission for grant of open access to the transmission lines and the distribution system of a licensee;
- (11) **"Open Access Regulations"** means the regulations as may be specified by the Commission for grant of open access to the transmission lines and the distribution system of a licensee ;
- (12) **"Other Business Regulations"** means the Joint Electricity Regulatory Commission for Goa & Union Territories (Treatment of Other Businesses of Transmission Licensees and Distribution Licensees) Regulations, 2009. **"Previous Year"** means the year immediately preceding the current year;
- (13) **"State"** means the State of Goa, and the Union Territories of Andaman and Nicobar Islands, Chandigarh, Dadra and Nagar Haveli, Daman and Diu, Lakshadweep and Puducherry;
- (14) **"Tariff"** means the schedule of charges for generation, transmission, and distribution of electricity determined by the Commission from time to time ;
- (15) **"Year"** mean financial year ending on 31st March.
- (2) Words or expressions occurring in these Regulations and not expressly defined herein shall bear the same meaning as respectively assigned to them in the Act.



## CHAPTER-II

### GENERAL GUIDING FACTORS FOR DETERMINATION OF TARIFF

#### 3. Tariff Determination

- (1) The Commission, while determining the tariff shall be guided by the principles contained in Section 61 of the Act, namely
  - (a) The principles and methodologies specified by the Central Commission for determination of the tariff applicable to generating companies and transmission licensees;
  - (b) The generation, transmission, distribution and supply of electricity are conducted on commercial principles;
  - (c) The factors which would encourage competition, efficiency, economical use of the resources, good performance and optimum investments;
  - (d) Safeguarding of consumers' interest and at the same time, recovery of the cost of electricity in a reasonable manner;
  - (e) The principles rewarding efficiency in performance;
  - (f) Multi year tariff principles;
  - (g) That the tariff progressively reflects the cost of supply of electricity and also, reduces and eliminates cross-subsidies within the period to be specified by the Appropriate Commission;
  - (h) The promotion of co-generation and generation of electricity from renewable sources of energy;
  - (i) The National Electricity Policy and tariff policy;
- (2) The Commission shall subject to the provisions of sub-regulation (23), determine the tariff in accordance with the provisions of the Act, the Rules made there under and these regulations, *inter alia*, for –
  - (a) Supply of electricity by a generating company to a distribution licensee:

Provided that the Commission may, in case of shortage of supply of electricity, fix the minimum and maximum ceiling of tariff for sale or purchase of electricity in pursuance of an agreement, entered into between a generating company and a licensee or between the licensees, for a period not exceeding one year to ensure reasonable prices of electricity;
  - (b) Transmission of electricity ;
  - (c) Wheeling of electricity;
  - (d) Retail sale of electricity ;

Provided that in case of distribution of electricity in the same area by two or more distribution licensees, the Commission may, for promoting competition among distribution licensees, fix only maximum ceiling of tariff.
- (3) In case it is not possible or practicable to determine tariff separately for (a) to (c) above, the Commission may fix combined tariff for more than one of these activities as per requirement.



- (4) Where the tariff has been determined through transparent process of bidding in accordance with the guidelines issued by the Central Government, the Commission shall adopt such tariff as laid down under Section 63 of the Act.
- (5) Where the Commission has allowed Open Access to certain persons under Section 42 of the Act, such persons, notwithstanding the provisions of clause (d) of sub-section (1) of Section 62 of the Act, may enter into an agreement with any person for supply/ purchase of electricity for this purpose on such terms and conditions (including tariff) as may be agreed upon by them, subject to the payment of various Open Access charges as determined by the Commission in accordance with Open Access Regulations.
- (6) The Commission while determining the tariff, shall not show undue preference to any consumer of electricity, but may differentiate according to the consumer's load factor, power factor, voltage, total consumption of electricity during any specified period or the time at which the supply is required or the geographical position of any area, the nature of supply and the purpose for which the supply is required.
- (7) If the appropriate Government requires the grant of any subsidy to any consumer or class of consumers in the tariff determined by the Commission, the State Government shall, notwithstanding any direction which may be given under Section 109 of the Act, pay, in advance and in such manner as may be specified, the amount to compensate the person affected by the grant of subsidy in the manner the Commission may direct, as a condition for the licensee or any other person concerned to implement the subsidy provided for by the appropriate Government:

Provided that no such direction of the State Government shall be operative if the payment is not made in accordance with the provisions contained in this Regulation and the tariff fixed by the Commission shall be applicable from the date decided as per the tariff order issued by the Commission in this regard.

#### **4. Periodicity of Tariff Determination**

No tariff or part of any tariff may ordinarily be amended, more frequently than once in any year, except in respect of any changes expressly permitted under the terms of the fuel surcharge formula specified by the Commission.

#### **5. Charging Of Permissible Tariff**

- (1) Subject to the provisions of regulation 3 (4) and 3 (5), no generating company or licensee shall, without prior approval of the Commission, charge any tariff;

Provided that the existing tariff being charged by the generating company or the licensee shall continue to be charged even after the date of commencement of these Regulations, till such time the tariff is revised by the Commission.

- (2) The generating company or the licensee shall not charge a tariff in excess of the tariff determined by the Commission and if any generating company or licensee recovers a price or charge exceeding the tariff determined by the Commission, the excess amount shall be recoverable by the person who has



paid such price or charge along with interest equivalent to the bank rate without prejudice to any other liability incurred by the generating company or the licensee.

## **6. Cross-Subsidy**

- (1) "Cross-subsidy for a consumer category" in the first phase (as defined in sub-regulation 2 below) means the difference between the average realization per unit from that category and the combined average cost of supply per unit expressed in percentage terms as a proportion of the combined average cost of supply. In the second phase (as defined in sub-regulation 2 below) means the difference between the average realization per unit from that category and the combined per unit cost of supply for that category expressed in percentage terms as a proportion of the combined cost of supply of that category.
- (2) The Commission shall determine the tariff to progressively reflect the cost of supply of electricity and also reduce cross subsidies within a reasonable period. To this purpose, in the first phase the Commission shall determine tariff so that it progressively reflects combined average unit cost of supply in accordance with National Tariff Policy. In the second phase, the Commission shall consider moving towards the category-wise cost of supply as a basis for determination of tariff.

## **7. Fuel Surcharge Formula**

- (1) The fuel cost revisions for the generating companies/units owned by the licensee that are due to reasons beyond the control of the generating companies / the licensee be in accordance with the fuel surcharge formula as may be decided by the Commission from time to time.
- (2) The generating company or the licensee may determine such charge in accordance with the specified formula and recover the same from such categories of consumers or the licensees, as the case may be after following procedure and the terms and conditions attached thereto.

## **8. Review and Truing Up**

- (1) The Commission shall undertake a review along with the next Tariff Order of the expenses and revenues approved by the Commission in the Tariff Order. While doing so, the Commission shall consider variations between approvals and revised estimates/pre-actuals of sale of electricity, income and expenditure for the relevant year and permit necessary adjustments/ changes in case such variations are for adequate and justifiable reasons. Such an exercise shall be called 'Review'.
- (2) (i) After audited accounts of a year are made available, the Commission shall undertake similar exercise as above with reference to the final actual figures as per the audited accounts. This exercise with reference to audited accounts shall be called 'Truing Up'.



- (ii) The Truing Up for any year will ordinarily not be considered after more than one year of 'Review'.
- (3) The revenue gap of the ensuing year shall be adjusted as a result of review and truing up exercises.
  - (4) While approving such expenses/revenues to be adjusted in the future years as arising out of the Review and / or Truing up exercises, the Commission may allow the carrying costs as determined by the Commission of such expenses/revenues. Carrying costs shall be limited to the interest rate approved for working capital borrowings.
  - (5) For any revision in approvals, the licensee would be required to satisfy the Commission that the revision is necessary due to conditions beyond its control.
  - (6) In case additional supply is required to be made to any particular category, the licensee may, any time during the year make an application to the Commission for its approval. The application will demonstrate the need for such change of consumer mix and additional supply of power and also indicate the manner in which the licensee proposes to meet the cost for such change of consumer mix and additional supply of power.
  - (7) The Commission may consider granting approval to such proposals provided the cost of additional supply is ordinarily met by the beneficiary category.

#### **9. Excess or Under Recovery with Respect to Norms and Targets**

- (1) The generating company or the licensee, as the case may be, shall pass on to the consumers, the 70 % of the gain arising from over achievement of the norms laid down by the Commission in these Regulations or targets set by the Commission from time to time and retaining balance 30% with themselves.
- (2) The generating company or the licensee, as the case may be, shall bear the entire loss on account of its failure to achieve the norms laid down by the Commission or targets set by the Commission from time to time.

#### **10. Regulatory Asset**

Only in extraordinary circumstances, the Commission may allow creation of Regulatory Asset in case the Revenue Gap is very substantial and is on account of one time factors beyond control of the generating company or the licensee and its full recovery in a single year will result in tariff shock for the consumers:

The Regulatory Assets so created along with carrying cost shall be liquidated in maximum 3 years period immediately following the year in which it is created.

#### **11. Multi - Year Tariff**

- (1) The Commission may adopt multi-year tariff principles for matters relating to calculation of revenue requirements and tariff determination of the generating companies and the licensees including the extent of investments, reduction of



loss levels, other efficiency gains, revision in charges, changes in tariff structure, and such other matters as the Commission may by a general or special order direct.

- (2) The Commission may, as and when it considers appropriate, issue guidelines for filing of Revenue Requirement and Tariff Proposals for a period of more than a single financial year and unless waived by the Commission, the generating company and the licensee shall follow such guidelines issued by the Commission.

### **CHAPTER III**

#### **TARIFF APPLICATION**

##### **12. Filing**

- (1) Each generating company and the licensee shall file Tariff Application on or before 30th November each year with the Commission, in the format as may be laid down by the Commission which shall include statements containing calculation of the expected aggregate revenue from charges under its currently approved tariff and the expected cost of providing services i.e. Aggregate Revenue Requirement (ARR) during the Previous Year, Current Year and Ensuing Year. The information for the Previous Year should be based on audited accounts, if available.

The Tariff Application shall also contain tariff proposals so as to fully cover the gap between the expected aggregate revenue at the prevalent tariff and the expected cost of services including schemes for reduction in loss levels and other efficiency gains to be achieved.

A set of preformae in which the integrated utility has to file Tariff Application is enclosed (Information to be furnished in Formats 1 to 28). Generating companies shall furnish information in respect of their generating stations in the Generating formats 1G to 12G.

- (2) In case a generating company or the licensee does not submit the Tariff Application within the time allowed by the Commission, the Commission may consider taking up the matter suo motu.
- (3) In case a licensee carries on any business other than the licensed business, the statements referred to in sub-regulation (1) above shall be given separately for each business of the licensee and in such manner as the Commission may direct.
- (4) The applications under this Regulation shall be accompanied by such fees as specified in the Commission's Conduct of Business Regulations.
- (5) The Application and the tariff proposals will be given due publicity by the generating company or the Licensee as the case may be, through newspapers as specified in regulation 29 of the Conduct of Business Regulations, and in accordance with any further directions/orders issued by



the Commission, to call for objections from the interested persons and the Appropriate Government.

- (6) The generating company or the licensee shall furnish to the Commission such information, particulars and documents as the Commission may require, from time to time for determination of tariff.

### **13. Aggregate Revenue Requirement**

- (1) The Aggregate Revenue Requirement of the generating company or the licensee shall comprise of the following:
- (a) Fuel Cost for own generation, if applicable.
  - (b) Cost of Power Purchase, if any
  - (c) Operation and Maintenance Expenses,
  - (d) Depreciation, including Advance Against Depreciation,
  - (e) Interest and Cost of Finance,
  - (f) Return on Equity,
  - (g) Income Tax
  - (h) Provision for Bad & Doubtful Debts
  - (i) Other Expenses.
- (2) The data should be provided for three years.
- (i) Audited figures for the previous year;  
Information for the previous year shall be based on the audited accounts; in the absence thereof, the audited accounts for the immediately preceding year shall be filed along with the un-audited accounts for the previous year.
  - (ii) Estimated figures for the current financial year should be based on actual figures for the first six months and the estimated figures for the second six-months of the year. The estimated figures for the second half year of the current financial year should be based on the actual audited figures for the second half of the previous year with adjustments that reflect known and measurable changes expected to occur between them. These adjustments must be specifically documented and justified.
  - (iii) Forecasted figures for the ensuing year should be based on the current year figures with adjustments that reflect known and measurable changes expected to occur between them. These adjustments must be specifically documented and justified.
- (3) The information to be provided shall also include:
- (i) A state of current tariff rates all applicable terms and conditions, and the expected full year revenue from the projected sales at the current tariff rates in the year in which the new tariffs are to be implemented.
  - (ii) A statement showing calculations of the estimated cost of providing the service required by the level of demand indicated in sub clause (i) above for each consumer class during the same period.



- (iii) A statement of the proposed tariff rate, price and charge, including a full statement of all applicable terms and conditions, as compared to those referred to (i) above. This statement should be shown in a form appropriate to the proposed tariff structure. Details should also be supplied of the publicity intended to be given to new tariff options when they are to be implemented.
  - (iv) A statement of the expected full – year revenue of the proposed tariff for the year in which the tariff is to be implemented.
  - (v) If the proposed tariff is to be introduced after the beginning of the financial year a statement of the proportion of expected revenue and quantities supplied under each proposed rate during the remaining months of the financial year should be included.
  - (vi) A statement of the estimated change in annual expected revenue that would result from the proposed tariff changes in the year in which they are to be implemented state in 'Rupees' and 'Percentage' terms.
  - (vii) A study of marginal cost of the generators business, including time – differentiated (time of use) short term marginal costs by voltage levels (wherever applicable) and a written explanation of the method used to calculate marginal costs. In addition, the statement shall include a comparison of the percentage of marginal costs recovered by the current and proposed tariff.
  - (viii) A written explanation of the rationale for the proposed changes in tariff and other charges, along with justification of the return on equity being requested.
  - (ix) A statement containing full details of the calculation of any subsidy/ subventions received, due or assumed to be due from the State Government.
  - (x) A written explanation supported by calculations of tariff rates, of any proposed new tariff.
  - (xi) Such other information as the Commission may direct from time to time.
- (4) The Aggregate Revenue Requirement of the generating company or the licensee shall be worked out by adjusting the following in the revenue requirement computed under Clause (1) above:
- (i) Necessary adjustments under Regulation 9 'Review and Truing Up'.
  - (ii) Income from surcharge and additional surcharge from Open Access Consumers, if any ;
  - (iii) Transmission and/or Wheeling Charges recovered from the Open Access Customers, if any ;
  - (iv) Authorized portion of Income/revenue from Other Business engaged in by the licensee for optimum utilization of assets, if any, in accordance



with the provisions of the Other Business Regulations issued by the Commission.

#### **14. Estimation of Sales**

- (1) The licensee shall submit actual recorded restricted demand (in MW), unrestricted demand (in MW) and sale of electricity (in MU) for different categories of consumers in its area of supply for Previous Year, revised estimates for the Current Year and forecast for the Ensuing Year. (Information to be furnished in Format -1)

Provided that, where the category-wise unrestricted / restricted demand is not available, these figures may be supplied for the area as a whole, along with an Explanatory Note giving *inter alia* the likely date by which such data are likely to be available and the steps taken/ proposed to be taken in that regard

- (2) The Commission shall examine the estimates of sales for reasonableness based on changes in number of consumers, consumption, losses and demand of electricity in previous years and anticipated growth in the next year and any other factors and approve sale of electricity to consumers after considering the relevant factors.
- (3) The licensee shall assess and forecast sales to un-metered agricultural category on the basis of the consumption norms for agricultural pump sets or on any other basis, determined, or otherwise found reasonable by, the Commission.

Where such norms have already been determined by the Government prior to the notification of these Regulations, the norms so determined shall continue to remain in force until the same are revised by the Commission.

- (4) Sale of electricity, if any, to other licensees shall be separately indicated.
- (5) The licensee shall also indicate separately the sale of electricity, if any, outside the State/UT including by way of Unscheduled Interchange (wherever possible) or in accordance with an Agreement(s) executed for this purpose.
- (6) The licensee should develop a robust database of all consumer categories with particulars such as their demand, energy consumption etc., so as to facilitate accurate forecasting in future.

#### **15. AT&C Losses**

- (1) The licensee shall give information of total AT&C losses in Previous Year and Current Year and the basis on which such losses have been worked out. (Information to be furnished in Format 2)
- (2) The licensee shall also propose a loss reduction programme for the Ensuing Year as well as for the next three years giving details of the measures proposed to be taken for achieving the same.
- (3) Based on the information furnished and field studies carried out and the loss reduction program proposed by the licensee, the Commission shall fix



separate targets for reduction of Transmission and Distribution losses and for commercial efficiency for the period specified by the Commission:

Provided further that in the event of unbundling of the integrated utility, the Commission may fix separate transmission and distribution loss targets and commercial efficiency targets, as the case may be, for each successor licensee taking into account its area of operation, its consumer mix, state of the network, level of metering, metering initiatives planned, etc.

- (4) The licensee shall conduct regular energy audit to substantiate its estimation of T&D losses. The licensee shall also furnish six monthly energy audit reports to the Commission.

The energy audit report for the first six months of the year shall be provided by November end of the same year. Similarly energy audit report for the last six months of the year shall be provided by May end of the next year.

- (5) In the absence of energy audit, the Commission may not accept the claim of the licensee and may proceed to fix the loss levels on the basis of any other information available and its own judgment.

#### **16. Estimate of Energy Input Requirement**

- (1) Based on the energy sales and the transmission and distribution losses approved by the Commission for the relevant years, the quantum of electricity required to meet the estimated sales shall be worked out.
- (2) The licensee shall procure power from approved sources and through other contractual obligations. Additional energy required after taking into account the availability of energy from such approved sources, shall be procured based on the ranking (Merit Order Dispatch) of all sources of supply..
- (3) For purchase of electricity from sources outside the State, the transmission loss level agreed to in the power purchase agreement (PPA) or worked out from energy accounts of RLDC/SLDC shall be accepted.

***(Information to be furnished in Format -3)***

#### **17. Cost of Power Purchase**

- (1) The licensee shall procure electricity in accordance with the provisions of Regulation 60 of the Joint Electricity Regulatory Commission (Conduct of Business) Regulations 2009 except in case of existing State-owned generating stations and generating stations owned or operated by the licensee.
- (2) Where power is purchased by the licensee from State-owned existing generating stations owned or operated by the licensee, the cost of power purchase shall be worked out based on the price determined by the Commission.
- (3) The cost of power purchased from central generating companies shall be worked out based on the tariff determined by the Central Electricity Regulatory Commission (CERC).



- (4) The cost of power purchased from nuclear power generating stations of NPCIL shall be worked out on the basis of tariff notified by the Department of Atomic Energy under the Atomic Energy Act, 1961.

***(Information to be furnished in Format -4)***

## **18. Variation in Power Purchase Cost**

Any power purchased by the licensee over and above the requirement of power approved by the Commission shall be considered by the Commission and if the variations are for reasons beyond the reasonable control of the licensee, the resultant additional cost due to purchase of such power shall be adjusted in next years' ARR.

## **19. Cost of Generation**

While determining the cost of generation of each thermal / gas / hydro electric generating stations located within the State, the Commission shall be guided, as far as feasible, by the principles and methodologies of CERC, as amended from time to time.

***(Information to be furnished in Format -1G to 12G)***

## **20. Cost of Transmission**

While determining the cost of transmission for use of transmission network of each transmission licensee, the Commission shall be guided, as far as feasible, by the principles and methodologies specified by CERC as amended from time to time for determination of tariff applicable to transmission licensee.

## **21. Capital Investment Plan**

- (1) The generating company and the licensee shall propose in their filings, a detailed capital investment plan, showing separately ongoing projects that will spill into the Ensuing Year and new projects (along with their justification) that will commence in the Ensuing Year.
- (2) The Commission may consider the generating company / licensee's investment plan for approval and for this purpose may require the generating company / licensee to provide relevant technical and commercial details. The carrying costs corresponding to the approved investment plan for a given year shall normally be considered for its revenue requirement.
- (3) In presenting the justification for new projects, the generating company and the licensee shall detail the specific nature of the works and outcomes sought to be achieved, and such details must be shown in the form of physical parameters, e.g. new capacity added, to be added, meters replaced, customer service centers set up etc., so that it is amenable for physical verification. In case of any significant shortfall in physical implementation, the Commission may require the generating company / licensee to explain the reasons, and may proportionately reduce the provision, including the interest and the return on equity, made towards revenue requirement, in the next period.



- (4) To meet natural calamities involving substantial investments, the generating company and the licensee may, any time during the tariff year, seek provision for additional capital expenditure and the Commission shall examine and review these provisions in the manner as given in sub-regulation clause (2) above and approve their inclusion in revenue requirement in the next period.

***(Information to be furnished in Format -5)***

## **22. Capital Cost and Capital Structure**

- (1) The approved investment plan of the generating company or the licensee shall be the basis for determining, the relevant components of ARR for each financial year.

Provided that only those projects/works shall be capitalized that have been completed and put to use.

- (2) Investments made prior to and up to 31st March immediately preceding the date of the notification of these Regulations or date of receipt of a petition of tariff determination whichever is earlier shall be considered on the basis of audited accounts or approvals already granted by the Commission.
- (3) Scrutiny of the capital cost estimates by the Commission shall include the reasonableness, financing plan, interest during construction, use of efficient technology, gestation period and such other matters relevant for determination of tariff.
- (4) Swapping of debt and equity shall be permitted provided it does not affect tariff charges adversely. The benefits accruing from such swapping shall pass on to the consumers.
- (5) Restructuring of capital cost in terms of relative share of equity and loan shall ordinarily not be permitted.

***(Information to be furnished in Format 6 & 7)***

## **23. Debt-Equity Ratio**

- (1) For the purpose of determination of tariff, debt-equity ratio in case of existing, ongoing as well as new projects commencing after the date of notification of these Regulations shall be 70:30. Where equity employed is more than 30%, the amount of equity for the purpose of tariff shall be limited to 30% and the balance amount shall be considered as loan. Where actual equity employed is less than 30%, the actual debt and equity shall be considered for determination of tariff:

Provided that the Commission may, in appropriate cases, consider equity higher than 30% for the purpose of determination of tariff, where the generating company or the licensee is able to establish to the satisfaction of the Commission that deployment of equity more than 30% is in the interest of the general public: .

- (2) The debt and equity amounts arrived at in accordance with sub-regulation (1) above shall be used for all purposes including for determining interest on loan,



return on equity, Advance against Depreciation and Foreign Exchange Rate Variation.:

Provided that in the case of an Integrated Utility, till the time it remains Integrated Utility, it shall be entitled to return on its capital base as per Schedule VI to the repealed Electricity (Supply) Act, 1948.

#### **24. Return on Equity**

- (1) Subject to the proviso to Regulation 23(2), Return on Equity shall be computed on the paid up equity capital determined in accordance with Regulation 23 and shall be guided by the Central Electricity Regulatory Commission (Terms and Conditions of Tariff) Regulations, 2004 as amended by the CERC from time to time. The same principles will apply for distribution business also as far as possible.
- (2) Equity invested in foreign currency shall be allowed a return up to the prescribed limit under sub-regulation (1) above in the same currency and the payment on this account shall be made in Indian Rupees based on the exchange rate prevailing on the due date of billing. The difference in actual exchange rate and the provisional exchange rate considered while determining the ARR and Tariff shall be taken into consideration at the time of Truing Up.
- (3) The premium raised by the generating company or the licensee while issuing share capital and investment of internal resources created out of free reserve, if any, shall also be reckoned as paid up equity capital for the purpose of computing return on equity, subject to limit prescribed in Regulation 24, provided such premium amount and internal resources are actually utilized for meeting capital expenditure.

#### **25. Interest and Finance Charges on Loan**

- (1) For existing loan capital, interest and finance charges on loan capital shall be computed on the outstanding loans, duly taking into account the rate of interest and schedule of repayment as per the terms and conditions of relevant agreements.
- (2) Interest and finance charges on loan capital for new investments shall be computed on the loans, duly taking into account the rate of interest and the schedule of repayment as per the terms and conditions of relevant agreements. The rate of interest shall, however, be restricted to the prevailing Prime Lending Rate of the State Bank of India.
- (3) The interest rate on the amount of equity above 30% treated as loan shall be the weighted average rate of interest on loan capital of the generating company / licensee :

Provided that interest and finance charges of renegotiated loan agreements shall not be considered, if they result in higher charges:

Provided further that interest and finance charges on works in progress shall be excluded and shall be considered as part of the capital cost.



- (4) Interest charges on security deposits, if any, made by the consumers with a generating company/licensee, shall be equivalent to the bank rate or at the rate, if any, specified by the Commission whichever is higher.
- (5) In case any moratorium period is availed of, depreciation provided for in the tariff during the years of moratorium shall be treated as repayment during those years and interest on loan capital shall be calculated accordingly.
- (6) The Commission shall allow obligatory taxes on interest, commitment charges, finance charges and any exchange rate difference arising from foreign currency borrowings, as finance cost.
- (7) Any saving in costs on account of subsequent restructuring of debt shall be passed on to the consumers.

***(Information to be furnished in Format 9 to 11)***

**26. Depreciation**

- (1) For the purpose of tariff, depreciation shall be computed in the following manner:

- (i) The value base for the purpose of depreciation shall be the historical cost of the assets, that is actual expenses limited to approved capital cost where such capital cost has been approved by the Commission:

Provided that land is not a depreciable asset and its cost shall be excluded from the capital cost while computing depreciation.

- (ii) The historical cost of the asset shall include additional capitalization.
- (iii) The historical cost shall include foreign currency funding converted into equivalent rupees at the exchange rate prevalent on the date when foreign currency was actually availed but not later than the date of commercial operation.
- (iv) Depreciation for generation and transmission assets shall be calculated annually as per straight-line method over the useful life of the asset at the rate of depreciation specified by the Central Electricity Regulatory Commission from time to time.

Provided that the total depreciation during the life of the asset shall not exceed 90% of the original cost.

Depreciation for distribution and other assets not covered by CERC shall be as per Government of India norms of 1994 as may be revised by the Commission from time to time.

***(Information to be furnished in Format 12)***

- (2) The generating company and the licensees shall make all efforts for aligning the tenure of long term debt with permissible rate of depreciation to reduce



front loading of tariffs. In case of inadequacy of cash for repayment of debt, only in extreme cases, the Commission may allow Advance Against Depreciation (AAD) in addition to the allowable Depreciation in the following manner:

AAD = Loan repayment amount as per the schedule of repayment subject to a ceiling of  $\frac{1}{10}^{\text{th}}$  of the loan amount as per Regulation 24 minus depreciation as per schedule

Provided that Advance against Depreciation shall be permitted only if the cumulative repayment up to a particular year exceeds the cumulative depreciation up to that year,

Provided further that Advance against Depreciation in a year shall be restricted to the extent of difference between cumulative repayment and cumulative depreciation up to that year.

- (3) On repayment of entire loan, the remaining depreciable value shall be spread over the balance useful life of the asset.
- (4) Depreciation shall be chargeable from the first year of operation. In case of operation of the asset for part of the year, depreciation shall be charged on *pro rata* basis.

***(Information to be furnished in Format 13)***

**27. Operation and Maintenance Expenses**

- (1) 'Operation & Maintenance expenses' or 'O&M expenses' shall mean repair and maintenance (R&M) expenses (***Information to be furnished in Format 14***), employees expenses (***Format 15 & 16***) and administrative & general (A & G) expenses including insurance. (***Format 17***)

While determining the O&M expenses for generation functions within the State, the Commission shall be guided, as far as feasible, by the principles and methodologies of CERC on the manner, as amended from time to time. (***Information to be furnished in Format 11G***)

- (2) While determining the O&M expenses for transmission functions within the State, the Commission shall be guided, as far as feasible by the principles and methodologies specified by CERC on the matter, as amended from time to time:

Provided further that the Commission may, if it considers it just, practical and proper considering the size of the total transmission system of, and the quantum of electricity handled by, an integrated utility, treat its transmission system as an integral part of its distribution system itself.

- (3) O&M expenses for distribution functions shall be determined by the Commission as follows:



- (a) O&M expenses as approved by the Commission for the first time for a year shall be considered as base O&M expenses for determination of O&M expenses for subsequent years;
  - (b) Base O&M expenses as above shall be adjusted according to variation in the rate of WPI per annum to determine the O&M expenses for subsequent year, where WPI is the Wholesale Price Index on April 1 of the relevant year;
  - (c) In case of unbundling of the Electricity Department and formation of separate distribution companies, the Commission will make suitable assessment of base O&M expenses of individual distribution companies separately and allow O&M expenses for subsequent years for individual companies on the basis of such estimation and above principle.
- (4) O&M expenses of assets taken on lease/hire-purchase and those created out of the consumers' contribution shall be considered in case the generating company or the licensee has the responsibility for its operation and maintenance and bear O&M expenses.
  - (5) O&M expenses for gross fixed assets added during the year shall be considered from the date of commissioning on *pro-rata* basis.
  - (6) O&M expenses for integrated utility shall be determined by the Commission on the norms and principles indicated above.

## **28. Bad and Doubtful Debts**

The Commission may, after the generating company / licensee gets the receivables audited, allow a provision for bad debts up to 1% of receivables in the revenue requirement of the generating company / licensee. (**Information to be furnished in format 18**)

## **29. WORKING CAPITAL AND INTEREST RATE ON WORKING CAPITAL**

- (1) For generation and transmission business, the working capital shall be as per CERC norms.
- (2) Subject to prudence check, the working capital for distribution business shall be the sum of one month requirement for meeting:
  - (a) Power purchase cost.
  - (b) Employees cost.
  - (c) Administration & general expenses and
  - (d) Repair & Maintenance expenses.
- (3) Subject to prudence check, the working capital for integrated utility shall be the sum of one month requirement for meeting :
  - (a) Power purchase cost
  - (b) Employees cost
  - (c) Administration & general expenses
  - (d) Repair & Maintenance expenses.
  - (e) Sum of two month requirement for meeting Fuel cost.



- (4) The rate of interest on working capital shall be equal to the short term Prime Lending Rate of State Bank of India on the 1<sup>st</sup> April of the relevant financial year. The interest on working capital shall be payable on normative basis notwithstanding that the generating company / licensee has not taken working capital loan from any outside agency or has exceeded the working capital loan amount worked out on the normative figures.

***(Information to be furnished in Format 19)***

### **30. Foreign Exchange Rate Variation (FERV)**

Extra rupee liability towards interest payment and loan repayment corresponding to the normative foreign debt or actual foreign debt, whichever is lower, in the relevant year shall be permissible provided it directly arises out of Foreign Exchange Rate Variation and is not attributable to the generating company or the licensee or its suppliers or contractors. Similarly, reduction in Rupee liability shall also be accounted for by the generating company or the licensee. Every generating company or the licensee shall recover Foreign Exchange Rate Variation on a year to year basis as income or expense in the period in which it arises and Foreign Exchange Rate Variation shall be adjusted on a year to year basis.

***(Information to be furnished in Format 20)***

### **31. Tax on Income**

- (1) Obligatory taxes, if any, on the income of the generating company or the licensee from its core / licensed business shall be computed as an expense and shall be recovered from the customers/consumers.

Provided that tax on any income other than the core/ licensed business shall not constitute a pass through component in tariff and tax on such other income shall be payable by the generating company or the licensee itself.

- (2) Subject to true-up based on the actual, Tax on income, if actually liable to be paid, shall be limited to tax on return on equity allowed, excluding incentives.
- (3) The Tax on income shall be considered at income tax rate including surcharge, cess, etc as applicable during the relevant year in accordance with the provisions of Income Tax Act, 1961 duly amended from time to time.
- (4) The benefits of tax holiday and the credit for carrying forward losses applicable as per the provisions of the Income Tax Act, 1961 shall be fully passed on to the customers / consumers.

### **32. Unfunded Liability of Pension and Gratuity**

With regard to unfunded past liabilities of pension and gratuity, if any, of the integrated Utility the Commission will follow the principle of 'pay as you go'. The Commission shall not allow any other amount out of ARR towards creating fund for meeting unfunded past liability of pension and gratuity.

The existing funds for the same purpose shall continued to be serviced and will be considered as a pass through.



### **33. Non-Tariff Income**

Following components of income shall be treated as non tariff income for the generating company or the licensee as applicable:

- (1) Meter/metering equipment/service line rentals
- (2) Service charges
- (3) Customer charges
- (4) Revenue from late payment surcharge
- (5) Recovery for theft and pilferage of energy
- (6) Incentives from Central Generating Stations (CGS's)
- (7) Interest on staff loans and advances
- (8) Interest on advances to suppliers
- (9) Income from trading
- (10) Income from staff welfare activities
- (11) Interest on investments, fixed and call deposits and bank
- (12) Net recovery from penalty on coal liaison agents, if any
- (13) Prior period income
- (14) Miscellaneous receipts/income

***(Information to be furnished in Format 21)***

### **34. Revenue from Other Business**

A proportion of the Revenue from Other Business shall be treated as income from Other Business, a proportion whereof shall be utilized for reducing the charges proportion of transmission or wheeling, as the case may be, of electricity by the licensee. The proportion of income from Other Business shall be considered in accordance with the Joint Electricity Regulatory Commission for Goa & Union Territories (Treatment of Other Businesses of Transmission Licensees and Distribution Licensees) Regulations, 2009.

***(Information to be furnished in Format 22)***

### **35. Late Payment Surcharge**

- (1) In case the payment of bills of generation tariff, transmission charges, wheeling charges or charges for electricity purchased by a person other than a consumer is delayed beyond a period of 60 days from the date of billing, late payment surcharge at the rate of 1.25% per month or part thereof shall be levied by the generating company or the licensee as the case may be.
- (2) For delay in payment of bill by a consumer beyond the period specified by the Commission, a late payment surcharge shall be levied as laid down by the Commission from time to time in the General Conditions of Tariff / Supply Code.



## CHAPTER IV

### COMPONENTS OF TARIFF

#### 36. Generation Tariff

The components of generation tariff shall be as laid down in the Central Electricity Regulatory Commission (Terms and Conditions of Tariff) Regulations, 2004 as amended by the CERC from time to time.

#### 37. Transmission Tariff

The components of transmission tariff shall be:

##### (a) Charges for use of network (Transmission Charges)

This component of transmission tariff shall be based on Postage Stamp Method and shall be worked out on the basis of available transmission capacity and would reflect cost of capital investment and operation and maintenance of the transmission system to transfer bulk power. The revenue from this component of transmission tariff will meet the annual revenue requirement of transmission entity in respect of owning the transmission asset.

Transmission charges shall be calculated in accordance with the following formula:

$$\text{Transmission charges} = (\text{ATC}) / (\text{Av\_CAP} \times 365)$$

Where:

ATC means Annual Transmission Charges determined by the Commission for a transmission licensee.

Av\_CAP means the average capacity in MW which can be served by the transmission system of the transmission licensee, which shall be the sum of the generating capacities, connected to the transmission system and contracted capacities of other long term transactions handled by the system of the transmission licensee.

##### (b) Operation Charges

This component of transmission tariff shall reflect the cost associated with operating the State Load Dispatch Centre. The cost, among other things, shall include the cost of owning and maintaining the State Load Dispatch Centre. The operation charges shall be charged to users of such services as laid down under Section 32 of the Act. The operation charges shall be charged on the basis of average capacity handled by the SLDC.

##### (c) Reactive Energy Charges

- (1) This component of transmission charges would be a variable charge reflecting voltage related drawal/return of reactive power. Reactive power drawals / returns shall be payable at the rates prescribed by the CERC from time to time in the following manner:



- (i) The beneficiary pays for reactive power drawal when voltage at the metering point is below 97%
  - (ii) The beneficiary gets paid for reactive power return when voltage is below 97%
  - (iii) The beneficiary gets paid for reactive power drawal when voltage is above 103%
  - (iv) The beneficiary pays for reactive power return when voltage is above 103%.
- (2) The transmission licensee shall maintain a separate account of reactive energy charges collected and this fund shall be utilized for providing capacitors and reactive compensation in the system.

### **38. Distribution & Retail Supply Tariff**

The charges for the Distribution & retail supply of electricity shall include:-

- (1) a fixed charge/Demand Charges where worked out separately by the Commission;
- (2) charges for actual electricity supplied;
- (3) Incentive / surcharge for maintaining high/low power factor ; and
- (4) rent or other charge in respect of the meter or any other equipment provided by the distribution licensee.

## **CHAPTER V**

### **TARIFF ORDER**

#### **39. Orders by Commission**

- (1) After receipt of Tariff Application under Chapter III of these Regulations and further information considered necessary by the Commission, or otherwise, the Commission may take Tariff Petition on record for further processing and make appropriate orders regarding initiation of proceedings in accordance with the provisions of the Joint Electricity Regulatory Commission for Goa & Union Territories (Conduct of Business) Regulations, 2009.
- (2) The Commission shall, within one hundred and twenty days from the date of receipt of Tariff Petition and after considering all suggestions and objections received from the public and other stakeholders;
  - (a) issue a tariff order determining the ARR and tariff with such conditions as may be specified in that order. The Tariff Order may inter alia contain the following ;
    - (i) the charges to be recovered from various categories of consumers before taking into account the effect of Government subsidy as provided in (7) sub-regulation of Regulation 3.
    - (ii) transmission and distribution losses determined together or separately.



- (iii) transmission tariff and wheeling charges determined together or separately.
- (iv) surcharge for different categories.
- (v) additional surcharge, if considered necessary.
- (vi) charges for supply of electricity by a generating company to a distribution licensee.

Or

- (b) reject the tariff petition for reasons to be recorded in writing if such petition is not in accordance with the provisions of the Act and the Rules and Regulations made there under or the provisions of any other law for the time being in force:

Provided that the generating company or the licensee shall be given a reasonable opportunity of being heard before rejecting the Tariff Petition.

#### **40. Communication of Tariff Orders**

The Commission shall, within seven days of making the order, send a copy of the order to the Appropriate Government, the Central Electricity Authority, the generating companies and concerned licensees. . The Commission shall also make available copies of the said order to any person on payment of a fee fixed by the Commission.

#### **41. Publication of Tariff**

- (1) The generating company or the licensee shall publish the tariff or tariffs approved by the Commission in newspapers having circulation in the area of supply as the Commission may direct. The publication shall, besides such other things as the Commission may require, include a general description of the tariff changes and its effect on the classes of the consumers or customers.
- (2) The Tariff Order shall, unless amended or revoked, continue to be in force for such period as may be specified in the Tariff Order.

#### **42. Special Provisions**

The Commission may waive any of the provisions of these Regulations in any matter if, in the opinion of the Commission, it is impracticable or inexpedient to proceed as per these Regulations. In such a situation, after recording its reasons, the Commission may adopt any other approach which is reasonable and is consistent with the overall approach of these Regulations.



## **CHAPTER VII**

### **MISCELLANEOUS**

#### **43. Power to Remove Difficulties**

If any difficulty arises in giving effect to any of these Regulations, the Commission, may, by general or specific order, direct the generating company/ licensee to do or undertake things which in the opinion of the Commission are necessary or expedient for removing the difficulties.

#### **44. Power to Amend**

The Commission, may, at any time, vary, alter, modify or amend any provisions of these Regulations.

#### **45. Review of Regulations**

The Commission, at the end of three years from the date of publishing these Regulations or even earlier if considered just, proper and desirable by it considering the circumstances then prevailing, shall undertake a comprehensive review of these Regulations with the objective of improvement in the principles, procedures and methodologies.

J.S. SEHRAWAT,  
Secretary.  
[ADVT III/4/218-I/09-Exty.]

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**FORMAT-1**

**(Name of the Applicant)**  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
**ENERGY DEMAND**  
**YEAR \_\_\_\_\_**

Sr. No.	Category of Consumer***	No. of Consumers at the end of the year(Nos.)	Connected Load at the end of the Year(KW)	Demand (in MW)		Energy Sale/Demand (MUs)
				Unrestricted	Restricted	
1	2	3	4	5	6	5
1.	Domestic					
2.	Commercial (NRS)					
3.	Industrial					
(a)	HT Supply					
(b)	LT Supply					
(c)	Total					
4.	Public Lighting					
5.	Railway Traction					
6.	Total Metered Sales (except Agriculture) within State/UT (total: 1 to 5)					
7.	Agricultural Consumption					
(a)	Metered					
(b)	Un-metered					
(c)	Total					
8.	Total Demand/ Sale Within State/UT (6+7)					

\*\*\* Consumer category classifications may be suitably modified, if those in existence are different from the ones listed, or do not appear, in this Table/Format with a suitable forwarding letter/Note. If any such modification is effected in this Table/Format, the same may be carried out in the other Tables/Formats also, if necessary, in the same sequence.



Note : Month-wise agriculture consumption data as per sample meters may also be supplied for different years separately for agricultural pumpsets.

**Format-2**

**Information regarding AT&C LOSS OF licensee**

Name of State/UT \_\_\_\_\_  
Name of licensee \_\_\_\_\_

S. N o	Particulars	Calcula tion	Unit	Previous Years (Actuals)		Current Year (R.E)	Ensuing Year (Projection)
1	Generation (own as well as any other connected generation net after deducting auxiliary consumption) within area of supply of DISCOM.	A	MU				
2	Input energy (metered Import) received at interface points of DISCOM network.	B	MU				
3	Input energy (metered Export) by the DISCOM at interface points of DISCOM network.	C	MU				
4	Total energy available for sale within the licensed area to the consumers of the DISCOM	$D=A+B-C$	MU				
5	Energy billed to metered consumers within the licensed area of the DISCOM	E	MU				
6	Energy billed to un-metered consumers within the licensed area of the DISCOM	F	MU				
7	Total energy billed	$G=E+F$	MU				



8	Amount billed to consumer within the licensed area of DISCOM.	H	Rs.				
9	Amount realized by the DISCOM out of the amount Billed at H#	I	Rs.				
10	Collection efficiency (%) (= Revenue realized/ Amount billed)	$J = (I/H) \times 100$	%				
11	Energy realized by the DISCOM	$K = J \times G$	MU				
12	Distribution loss (%)	$L = \{(D - G)/D\} \times 100$	%				
13	AT&C Loss (%)	$M = \{(D - K)/D\} \times 100$	%				

# Amount received in the current year for the amount billed in the previous years should not be excluded in this head. However, subsidy received against the current year's sale of electricity should be considered in this head.

@norms for determining the energy billed to un-metered consumer may be specified. This should be only for two categories i.e. agricultural consumers and the households below poverty line. The norms could be on the basis of sample metering in case of the agricultural consumers which could be further refined on the basis of the results of the consultancy study on cost of supply to agricultural consumers.

**Note: Audited figures must be taken from the commercial Department of the utility (Billing and Revenue Section) for computing the AT&C losses. However, 2008-09 provisional figures may be adopted subject to audited figures becoming available later in the year**



**FORMAT-3**

**(Name of the Applicant)**  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
**ENERGY BALANCE**

(All figures in MU)

Sr. No.	Item	Previous Year (Actuals)	Current Year (R.E)	Ensuing Year (Projection)
1	2	3	4	5
<b>A)</b>	<b>ENERGY REQUIREMENT</b>			
1.	Energy sales to metered category within the State/UT			
2.	Energy sales to Agriculture consumers			
3.	<b>Total sales within the State/UT</b>			
4.	Sales to common pool consumers/ UI			
5.	Sales outside state/UT			
6.	Sales a) To electricity traders b) Through PX			
7.	Sales to other distribution licensees a) Bilateral Trade b) Banking Arrangement			
8.	Total sales			
9.	T&D losses			
i)	%			
ii)	MU			
10.	Total energy requirement			
<b>B)</b>	<b>ENERGY AVAILABILITY</b>			
1.	Net thermal generation (Own+ IPP + Share from Central Stations)			
2.	Net hydel generation (own+shared)			
3.	Power Purchased from a) Common Pool/UI b) Traders c) PX d) Others			
4.	Net power purchase (1 +2 +3)			
5.	Total energy availability			







**Note : Information may be supplied separately for the previous year, current year and ensuing year.**



Format-5

(Name of the Applicant) \_\_\_\_\_  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR** \_\_\_\_\_  
Investment Plan (year-wise)

Project Details						SOURCE OF FINANCING FOR SCHEME					
Name of scheme	Year of Start	Nature of Project (Select appropriate code from below)	Approved by the Commission* (YES/NO)	Project Start Date (DD-MM-YY)	Project Completion date (DD-MM-YY)	Total capital expenditure approved by JERC (Rs. Cr.)	Equity component			Consumer Contribution component	Actual Expenditure
							Internal Accrual (from free reserves and surplus)	Equity infused **	Capital Subsidies / grants component		
1	2	3	4	5	6	7	8	9	10	11	12

**Notes:**

\* Support with appropriate paper work i.e. Detailed Project Reports and other documents, as necessary

\*\* Provide break up of Government and Licensee/Private share

Codes for selecting Nature of work

- a. EHV Schemes
- b. Distribution schemes
  - I. System augmentation
  - II. System improvement
  - III. Schemes for loss reduction
- c. Metering schemes
- d. Capacitor
- e. SCADA / DMS etc
- f. Miscellaneous



**Format-6**

**(Name of the Applicant)**  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR**  
**Capital Base and Return**

(Rs. in crores)

Sr. No.	Particulars	Previous Year (Actuals)	Current Year (R.E)	Ensuing Year (Projection)
1.	2.	3.	4.	5.
1.	Gross block at beginning of the year			
2.	Less accumulated depreciation			
3.	Net block at beginning of the year			
4.	Less accumulated consumer contribution			
5.	Net fixed assets at beginning of the year			
6.	<b>Reasonable return @3% of NFA</b>			

Sr. No.	Particulars	WIP	Fixed Assets
1.	2.	3.	4.
1.	As on 31st March of previous year Add capital expenditure during current year Total: Less transferred to fixed assets		
2.	As on 31st March of current year Add capital expenditure during ensuing year Total: Less transferred to fixed assets		
3.	As on 31st March of ensuing year		

Sr. No.	Particulars	Amount
1.	Accumulated Depreciation	
2.	As on 31st March of previous year	
3.	Add: Depreciation for current year	
4.	As on 31st March of current year	
	<b>Total Depreciation (2+3+4)</b>	
5.	Consumers Contribution	
6.	As on 31st March of previous year	
7.	Addition during current year	
8.	As on 31st March of current year	
	<b>Total Consumers Contribution (6+7+8)</b>	



**Format-7**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
Original Cost of Fixed Assets

(Rs. in crores)

Sr. No.	Assets group	Value of assets at the beginning of previous year	Addition during previous year	Closing balance at the end of previous year	Addition during the current year *	Closing balance at the end of current year	Addition during ensuing year*	Closing balance at the end of ensuing year
1.	2.	3.	4.	5.	6.	7.	8.	9.
1.	Thermal							
2.	Hydro							
3.	Internal combustion							
4.	Transmission							
5.	Distribution							
6.	Others							
7.	Total							

\* Estimated/Audited

**Format-8**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
Works-in-Progress

(Rs. in crores)

Sr. No.	Particulars	Previous year (actual)	Current year (RE)	Ensuing year (projections)
1.	2.	3.	4.	5.
1.	Opening balance			
2.	Add: New investments			
3.	Total			
4.	Less investment capitalized			
5.	Closing balance			



**Format-9**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
Interest Capitalized

(Rs. in crores)

Sr.No.	Interest Capitalized	Previous year (actuals)	Current year (RE)	Ensuing year (projections)
1.	2.	3.	4.	5.
1.	WIP*			
2.	GFA* at the end of the year			
3.	WIP+GFA at the end of the year			
4.	Interest(excluding interest on WCL*)			
5.	Interest Capitalized			

**\*WIP:Works-in-Progress; GFA:Gross Fixed Assets; WCL:Working capital loan**



**Format-10**

(Name of the Applicant) \_\_\_\_\_  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR**

**Details of loans for the year**

[Information to be supplied for the previous year (actuals), current year (RE) and ensuing year (projections)]  
 (Rs. in Crores)

Sl. No.	Particulars (source)	Opening balance	Rate of interest	Addition during the year	Repayment during the year	Closing balance	Amount of interest paid	
							Current Year (RE)	Ensuing year (projections)
1	2	3	4	5	6	7	8	9
1.	SLR Bonds							
2.	Non SLR Bonds							
3.	LIC							
4.	REC							
5.	Commercial Banks							
6.	Bills discounting							
7.	Lease rental							
8.	PFC							
9.	GPF							



[illegible]



**Format-11**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
Information regarding restructuring of outstanding loans during the year

Sr. No.	Source of loan	Amount of original loan (Rs. in crores)	Old rate of interest	Amount already restructured (Rs. in crores)	Revised rate of interest	Amount now being restructured (Rs. in crores)	New rate of interest
1.	2.	3.	4.	5.	6.	7.	8.



**Format-12**

**(Name of the Applicant)**  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
**Value of Assets and Depreciation Charges**

Sr. No.	Particulars Name of the Assets	Rate of depreciation n*	Previous Year		Current Year		Ensuing Year		Accumulated depreciation
			Assets value at the beginning of the year	Depreciation charges	Assets value at the beginning of the year	Depreciation charges	Assets value at the beginning of the year	Depreciation charges	
1.	2.	3.	4.	5.	6.	7.	8.	9.	10.
	<b>(i) Thermal</b>								
1.	Land and land rights								
2.	Buildings								
3.	Hydraulic works								
4.	Other civil works								
5.	Plant and machinery								
6.	Lines and cable network								
7.	Vehicles								
8.	Furniture and fixtures								
9.	Office equipment								
10.	<b>Total</b>								
	<b>(ii) Hydel</b>								
1.	Land and land rights								
2.	Buildings								
3.	Hydraulic works								
4.	Other civil works								
5.	Plant and machinery								
6.	Lines and cable network								







[illegible]

**Note \* Depreciation rates as per CERC's Depreciation Rate Schedule (Appendix-1)**



**Format - 13**

Name of the Applicant/  
ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_

**Calculation of Advance Against Depreciation**

(Rs Crores)				
S. No	Particulars	Previous Year	Current Year	Ensuing Year
		Actual	Revised	Projected
1	1/10th of the Loan(s)			
2	Repayment of the Loan(s) as considered for working out Interest on Loan			
3	Minimum of the Above			
4	Less: Depreciation during the year			
	A			
5	Cumulative Repayment of the Loan(s) as considered for working out Interest on Loan			
6	Less: Cumulative Depreciation			
	B			
7	Advance Against Depreciation (minimum of A or B)			



**Format-14**

**(Name of the Applicant)**  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
**Repair and Maintenance Expenses**

(Rs. in crores)

Sr. No	Particulars	Previous year (actual)	Current year (RE)	Ensuing year (Projections)
1.	2.	3.	4.	5.
1.	Plant & machinery			
	- Plant & Apparatus			
	- EHV substations			
	- 33kV substation			
	- 11kV substation			
	- Switchgear and cable connections			
	- Others			
	<b>Total</b>			
2.	Building			
3.	Hydraulic works & civil works			
4.	Line cable & network			
	- EHV Lines			
	- 33kV lines			
	- 11kV lines			
	- LT lines			
	- Meters and metering equipment			
	- Others			
	<b>Total</b>			
5.	Vehicles			
6.	Furniture & fixtures			
7.	Office equipments			
8.	Operating expenses			
9.	<b>Total</b>			
10.	Add/Deduct share of others (To be specified)			
11.	<b>Total expenses</b>			
12.	Less capitalized			
13.	<b>Net expenses</b>			
14.	Add prior period *			
15.	<b>Total expenses charged to revenue as R&amp;M expenses</b>			

\*Year-wise details of these charges may be provided.



**Format-15**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
**Total Number of Employees**

Sr. No.	Particulars	Previous Year (actuals)	Current year (RE)	Ensuing year (Projections)
1.	2.	3.	4.	5.
1.	Number of employees as on 1st April			
2.	Employees on deputation/ foreign service as on 1st April			
3.	Total number of employees (1+2)			
4.	Number of employees retired/retiring during the year			
5.	Number of employees at the end of the year (4-5)			

Note: Information of Number of Employee to be submitted for Generation, Transmission and Distribution separately.



**Format-16**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
**Employee Cost for the year-----**

[Information to be supplied for the previous year (actual), current year (revised) and ensuing year (projections) separately]

(Rs. in crores)

Sr.No	Particulars	Previous Year (actual)	Current year	Ensuing year (projections)
1.	2.	3.	4.	5.
	<b>Salaries &amp; Allowances</b>			
1.	Basic pay			
2.	Dearness pay			
3.	Dearness allowance			
4.	House rent allowance			
5.	Fixed medical allowance			
6.	Medical reimbursement charges			
7.	Over time payment			
8.	Other allowances (detailed list to be attached)			
9.	Generation incentive			
10.	Bonus			
11.	<b>Total</b>			
	<b>Terminal Benefits</b>			
12.	Leave encashment			
13.	Gratuity			
14.	Commutation of pension			
15.	Workmen compensation			
16.	Ex-gratia			
17.	<b>Total</b>			
	<b>Pension Payments</b>			
18.	Basic pension			
19.	Dearness pension			
20.	Dearness allowance			
21.	Any other expenses			
22.	<b>Total</b>			
23.	<b>Total (11+17+22)</b>			
24.	Amount capitalized			
25.	Net amount			
26.	Add prior period expenses			
27.	<b>Grand total</b>			

Note:

1. Year-wise details of prior period employees cost, if any, may be provided.
2. Separate information of Employee Cost to be submitted for Generation, Transmission and Distribution.



**Format-17**

(Name of the Applicant) \_\_\_\_\_  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
**Administration and General Expenses**

(Rs. in crores)

Sr. No.	Sub-head	Previous year (actual)	Current year (RE)	Ensuing year (projections)
1.	2.	3.	4.	5.
1.	Rent, rates & taxes			
2.	Insurance			
3.	Telephone, postage & telegrams			
4.	Consultancy fees			
5.	Technical fees			
6.	Other professional charges			
7.	Conveyance & travel expenses			
8.	Electricity & water charges			
9.	Others			
10.	Freight			
11.	Other material related expenses			
12.	<b>Total</b>			
13.	Add/Deduct share of others (to be specified)			
14.	<b>Total expenses</b>			
15.	Less capitalized			
16.	<b>Net expenses</b>			
17.	Add prior period*			
18.	<b>Total expenses charged to revenue</b>			

\*Year-wise details of these charges may be provided.



**Format-18**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
Information regarding Bad and Doubtful Debts

Sr. No.	Particulars	Amount (Rs. in crores)
1.	2.	3.
1.	Amount of receivable bad and doubtful debts (audited)	
2.	Provision made for debts in ARR	

**Format-19**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
Information regarding Working Capital for the current and ensuing year

Sr. No.	Particulars	Amount (in Crores Rs.)	
		Current year (RE)	Ensuing year (projections)
1.	2.	3.	4.
1.	Fuel Cost		
2.	Power Purchase Cost		
3.	One month's employee costs		
4.	administration & general expenses		
5.	One month's R&M Cost		
6.	Total		



**Format-20**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
Information regarding Foreign Exchange Rate Variation (FERV)

Sr. No.	Particulars	Amount (Rs. in crores)
1.	2.	3.
1.	Amount of liability provided	
2.	Amount recovered	
3.	Amount adjusted	

**Format-21**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
Non Tariff Income

(Rs. in crores)

Sr. No.	Particulars	Previous year (actuals)	Current year (RE)	Ensuing year (projections)
1.	2.	3.	4.	5.
1.	Meter/service rent			
2.	Late payment surcharge			
3.	Theft/pilferage of energy			
4.	Wheeling charges under open access			
5.	Interest on staff loans & advance			
6.	Income from trading			
7.	Income staff welfare activities			
8.	Investment & bank balances			
9.	Misc. Receipts/income			
10.	<b>Total income</b>			
11.	Add prior period income*			
12.	<b>Total non tariff income</b>			

\*Year-wise details of prior period income may be provided



**Format-22**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
**Information regarding Revenue from Other Business**

Sr. No.	Particulars	(Amount in Crores Rupees)		
		Previous year (actual)	Current year (RE)	Ensuing year (projections)
1.	2.	3.	4.	5.
1.	Total revenue from other business			
2.	Income from other business to be considered for licensed business as per regulations			

Note : To be supplied for previous year, current year and ensuing year for which licence for other business was operating.

**Format-23**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
**Lease Details**

Sr. No.	Name of Lesser	Gross Assets (Rs.in crores)	Lease entered on	Lease Rentals	Primary period ended/ending by	Secondary period ending by
1.	2.	3.	4.	5.	6.	7.



**Format-24**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
Information regarding Wholesale Price Index (All Commodities)  
**(To be supported with documentary evidence)**

Sr. No.	Period	WPI/CPI*	Increase over previous year
1.	2.	3.	4.
1.	As on April 1 of Previous Year		
2.	As on April 1 of Current Year		
3.	As on April 1 of ensuring Year		

\*CPI is not necessary in case the same is deleted in draft Regulations  
 28.3(b).

**Format-25**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
Information regarding amount of equity and loan

Sr. No.	Period	Amount of equity (Rs. in crore)	Amount of loan (Rs. in crore)	Ratio of equity & loan
1.	2.	3.	4.	5.
1.	As on March 31 of previous Year			
2.	As on March 31 of current Year			
3.	As on March 31 of ensuring Year			



**Format-26**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
Cash flow statement for the ensuing year (projections)

(Rs. in crores)

Sr. No.	Month	Sources of receipt	Amount	Particulars of payment	Amount
1.	2.	3.	4.	5.	6.
1.	April				
2.	May				
3.	June				
4.	July				
5.	August				
6.	September				
7.	October				
8.	November				
9.	December				
10.	January				
11.	February				
12.	March				
13.	Total				



**Format-27**

**(Name of the Applicant)**  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**

(Rs. in crores)

Sr. No.	Item of expense	Proposed by the Licensee	Revised by the Licensee	Approved by the Commission	Actuals as per accounts
1	2	3	4	5	6
1.	Cost of fuel				
2.	Cost of power purchase				
3.	Employee costs				
4.	O&M expenses				
5.	Administration and general expenses				
6.	Depreciation				
7.	Interest charges (including interest on working capital)				
8.	Return on NFA /Equity				
9.	Provision for Bad Debit				
10.	Total revenue requirement				
11.	Less: non tariff income				
12.	Net revenue requirement (10-11)				
13.	Revenue from tariff				
14.	Gap (12-13)				
15.	Gap for -----				
16.	<b>Total gap (14+15)</b>				
17.	Revenue surplus carried over				
18.	Additional revenue from proposed tariff				
19.	Regulatory asset				
20.	<b>Energy sales (MU)</b>				

**Note:**

- Columns 1 to 6 applicable for previous year.
- Columns 1 to 4 applicable for current year.
- Columns 1 to 3 applicable for ensuing year.



**Format-28**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
Revenue from Existing Tariff

(Information to be supplied for previous year (actuals), current year (RE), ensuing year (projections))

Sr. No.	Category of consumers	No. of Consumers	Energy sales (MU)	Contacted Max. Demand KVA	Demand Charges (Rs/KVA	Tariff rates (p/unit)	Revenue (Rs. in crores)
1	2	3	4	5	6	7	8
1.	Domestic						
a)	Up to 100 units						
b)	101-300 units						
c)	Above 300 units						
	<b>Total</b>						
2.	NRS / Commercial						
3.	Public lighting						
4.	Industrial						
a)	HT						
b)	LT						
	<b>Total</b>						
5.	Bulk supply						
6.	Railway traction						
7.	Common pool/ UI						
8.	Outside state						
9.	<b>Total</b>						
10.	Agriculture consumption						
11.	<b>Total</b>						
12.	Add MMC and Other charges						
13.	<b>Grand Total</b>						

\*\*\* Consumer category classifications may be suitably modified, if those in existence are different from the ones listed, or do not appear, in this Table/Format with a suitable forwarding letter/Note. If any such modification is effected in this Table/Format, the same may be carried out in the other Tables/Formats also, if necessary, in the same sequence.



**FORMAT- 1G**

<b>SUMMARY SHEET</b>				
<b>Name of the Applicant</b>				
<b>Name of the Generating Station</b>				
<b>Region</b>			<b>State/UT</b>	
(Amount in Million Rupees)				
<b>Sr. No.</b>	<b>Particulars</b>	<b>Previous year (actual)</b>	<b>Current year (RE)</b>	<b>Ensuing year (projections)</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
<b>1. Calculation of Capacity / Fixed Charges</b>				
1.1	Interest on Loan Capital (Form - 4 & 5 )			
1.2	Depreciation (Form - 7 )			
1.3	Advance Against Depreciation (Form - 8 )			
1.4	Return on Equity			
1.5	Operation & Maintenance Expenses (Form - 11)			
1.6	Foreign Exchange Rate Variation (Form - 10 )			
1.7	Interest on Allowed Working Capital (Form – 9 as applicable)			
1.8	Taxes on Income			
1.9	<b>Total</b>			
<b>2. Calculation of Energy / Variable charges</b>				
2.1	Rate of Energy Charge from Primary Fuel (REC) p2			
2.2	Rate of Energy Charge from Secondary Fuel (REC)			
2.3	Rate of Energy Charge ex-bus(REC) <sup>3A,3B,3C</sup>			
	<b>Total</b>			
<b>3</b>	<b>Grand Total (1+2)</b>			

Note:

- Details of calculations, considering equity as per regulation, to be furnished and Detailed calculations of all the above components of costs be furnished in the Forms mentioned against each
- Financial Years for which details are to be submitted should be adjusted in accordance with the year of filing.
- If multifuel is used simultaneously, give 2.1 in respect of every fuel individually.  
 3A The rate of energy charge shall be computed for open cycle operation and combined cycle operation separately in case of gas/liquid fuel fired plants.  
  
 3B The total energy charge shall be worked out based on ex-bus energy scheduled to be sent out in case of plants covered by ABT, and exbus energy sent out in case of plants not covered by ABT, as the case may be.  
  
 3C Any escalation in fuel cost to be considered for subsequent years or FPA to take care of the escalation



**FORMAT – 2G****Tariff Norms for Energy / variable charges**

Name of the Applicant:

Name of the Generating Station

Region

State/UT

<b>Special features of the plant</b>								
a) Basic Characteristics <sup>1</sup> & Site Specific Features <sup>2</sup>								
b) Environmental Regulation related Features <sup>3</sup>								
c) Any other special features								
d) Date of Commercial Operation (COD)								
e) Type of cooling System <sup>5</sup>								
<b>Fuel Details<sup>4</sup></b>					<b>Primary Fuel</b>	<b>Secondary Fuel</b>	<b>Alternate Fuels</b>	
Mention type of fuel								
<b>Sr. No.</b>	<b>Particulars</b>	<b>Unit</b>	<b>Ref.</b>	<b>Derivation</b>	<b>Previous Year</b>			<b>Current year</b>
					<b>X-3</b>	<b>X-2</b>	<b>X-1</b>	<b>X</b>
					<b>Actual</b>	<b>Actual</b>	<b>Actual</b>	<b>Revised</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
1	Installed Capacity	MW						
2	PLF	%						
3	Generation	MU	A	A				
4	Auxiliary Consumption	% MU	B	B				
5	Generation (Ex-bus)	MU	C	(A - B)				
6	Station Heat Rate	Kcal/kWh	D	D				
7	Specific Oil Consumption	ML/kWh	E	E				
8	Calorific Value of Fuel Oil	Kcal/Litre	F	F				
9	Calorific Value of Coal	Kcal/Kg	G	G				
10	Overall Heat rate	Gcal	H	(A x D)				
11	Heat from Oil	Gcal	I	(A x E x F)				
12	Heat from Coal	Gcal	J	(H - I)				
13	Actual Oil consumption	KL	K	(I x 1000 / F) or (A x E)				
14	Actual Coal consumption*	MT	L	(J x 1000 / G) / 0.992				
15	Cost of Oil per KL	Rs/KL	M	M				
16	Cost of Coal per MT (incl. LADT)	Rs/MT	N	N				
17	Total cost of Oil	Rs.	O	(M x K / 10				



		Million		<sup>^</sup> 6)				
18	Total Cost of Coal	Rs. million	P	(N x L / 10 <sup>^</sup> 6)				
19	Total Fuel Cost	Rs. million	Q	(O + P)				
20	Fuel Cost/kWh	Rs/kWh	R	(Q / C)				
*	The Commission may relax the norm and set trajectory							

<sup>1</sup> Describe the basic characteristics of the plant e.g. in the case of a coal based plant whether it is conventional steam generator or circulating fluidized bed combustion generator or sub-critical once through steam generator etc.

<sup>2</sup> Any site specific feature such as Merry-Go-Round, Vicinity to sea, Intake/makeup water systems etc. scrubbers etc. Specify all such features.

<sup>3</sup> Environmental regulation related features like FGD, ESP etc.

<sup>4</sup> Coal or natural gas or naphtha or lignite etc.

<sup>5</sup> Closed circuit cooling, once through cooling, sea cooling etc.

**Format- 3G**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR** \_\_\_\_\_  
 Information regarding amount of Equity & Loan

Sr. No.	Period	Amt. of Equity (Rs. in crores)	Amt. of Loan (Rs. in crores)	Ratio of equity & loan
1.	2.	3.	4.	5.
1.	As on March 31 of previous year			
2.	As on March 31 of current year			
3.	As on March 31 of ensuing year			

**Format-4G**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR** \_\_\_\_\_  
Interest Capitalized

(Rs. in crores)

Sr.No.	Interest Capitalized	Previous year (actuals)	Current year (RE)	Ensuing year (projections)
1.	2.	3.	4.	5.
1.	WIP*			
2.	GFA* at the end of the year			
3.	WIP+GFA at the end of the year			
4.	Interest(excluding interest on WCL*)			
5.	Interest Capitalized			

**\*WIP:Works-in-Progress; GFA:Gross Fixed Assets; WCL:Working capital loan**



**Format-5G**

(Name of the Applicant)  
**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_**  
**Details of loans Interest and Finance Charges for the year**

(Rs. in Crores)

Sl. No.	Particulars (source)	Opening balance	Rate of interest	Addition during the year	Repayment during the year	Closing balance	Amount of interest paid	
							Current Year (RE)	Ensuing year (projections)
1	2	3	4	5	6	7	8	9
1	SLR Bonds							
2	Non SLR Bonds							
3	LIC							
4	REC							
5	Commercial Banks							
6	Bills discounting							
7	Lease rental							
8	PFC							
9	GPF							
10	CSS							
11	Working capital loan							
12	Others							
13	<b>Total</b>							
14	Add Govt. loan -State Govt. -Central Govt. <b>Total</b>							
15	<b>Total (13+14)</b>							
16	Less capitalization							
17	<b>Net interest</b>							
18	Add prior period							
19	<b>Total interest</b>							
20	Finance charges							



21	Total interest and finance charges							
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**Format-6G**

(Name of the Applicant)

**ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_****Information regarding restructuring of outstanding loans during the year**

Sr. No.	Source of loan	Amount of original loan (Rs. in crores)	Old rate of interest	Amount already restructured (Rs. in crores)	Revised rate of interest	Amount now being restructured (Rs. in crores)	New rate of interest
1.	2.	3.	4.	5.	6.	7.	8.







[illegible]

<sup>1</sup> Name of the Assets should conform to the description of the assets mentioned in Depreciation Schedule appended to the Notification.



**Format – 8G****Name of the Applicant****Name of the Power Station:****Calculation of Advance Against Depreciation**

(Rs Crores)						
S. No	Particulars	Previous Year		Current year	Ensuing Year	
		X-2	X-1	X	X+1	X+2
		Actual	Actual	Revised	Projected	Projected
1	1/10th of the Loan(s)					
2	Repayment of the Loan(s) as considered for working out Interest on Loan					
3	Minimum of the Above					
4	Less: Depreciation during the year					
	A					
5	Cumulative Repayment of the Loan(s) as considered for working out Interest on Loan					
6	Less: Cumulative Depreciation					
	B					
7	Advance Against Depreciation (minimum of A or B)					



**Format – 9G****Name of the Applicant****Name of the Power Station:****Calculation of interest on Working Capital for generation**

Sr. No.	Particulars	(Amount in millions)				
		Previous Year			Current year	Ensuing Year
		X-3	X-2	X-1	X	X+1
		Actual	Actual	Actual	Revised	Projected
1	2	3	4	5	6	7
1	Cost of Coal / Lignite <sup>1</sup>					
2	Cost of Secondary Fuel Oil <sup>1</sup>					
3	Fuel Cost <sup>2</sup>					
4	Liquid Fuel Stock <sup>2</sup>					
5	O&M expenses					
6	Maintenance spares					
7	Receivables					
8	Total working capital					
9	Rate of interest on working capital					
10	Interest on working capital					

1 For coal based/lignite based generating stations

2 For Gas Turbine/Combined Cycle generating stations duly taking into account the mode of operation on gas fuel and liquid fuel

**Format-10G****(Name of the Applicant)****ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_****Information regarding Foreign Exchange Rate Variation (FERV)**

Sr. No.	Particulars	Amount (Rs. in crores)
1.	2.	3.
1.	Amount of liability provided	
2.	Amount recovered	
3.	Amount adjusted	



**Format- 11G**

Name of the Applicant

Name of the Power Station:

**DETAILS OF OPERATION AND MAINTENANCE EXPENSE**

	Particulars	Previous Year			Current year	Ensuing Year
		X-3	X-2	X-1	X	X+1
		Actual	Actual	Actual	Revised	Projected
	1	2	3	4	5	
<b>(A)</b>	<b>Breakup of O&amp;M expenses</b>					
1.	Consumption of Stores and Spares					
2.	Repair and Maintenance					
3.	Insurance					
4.	Security					
5.	Administrative Expenses					
	- Rent					
	- Electricity Charges					
	- Travelling and conveyance					
	- Telephone, telex and postage					
	- Advertising					
	- Entertainment					
	- Others (Specify items)					
	<b>Sub-Total (Administrative Expenses)</b>					
6.	<b>Employee Cost*</b>					
	a) Salaries, wages and allowances					
	i. Basic pay					
	ii. Dearness pay					
	iii. Dearness allowance					
	iv. House rent allowance					
	v. Fixed medical allowance					
	vi. Medical reimbursement charges					
	vii. Over time payment					
	viii. Other allowances (detailed list to be attached)					
	ix. Generation incentive					
	x. Bonus					
	<b>Total</b>					
	b) Staff welfare expenses/ Terminal Benefits					
	i. Leave encashment					
	ii. Gratuity					
	iii. Commutation of pension					
	iv. Workmen compensation					
	v. Ex-gratia					



	<b>Total</b>					
	c) Productivity linked incentive					
	d) Pension Payments					
	i. Basic pension					
	ii. Dearness pension					
	iii. Dearness allowance					
	iv. Any other expenses					
	<b>Total</b>					
	<b>Total Employee Cost (a+b+c=d)</b>					
7.	Corporate/ Head office expenses allocation					
8.	Total (1 to 7)					
	LESS: Recovered , if any					
	<b>Net Expenses</b>					
<p>Notes:</p> <p>I. The process of allocation of corporate expenses to generating stations should be specified</p> <p>II. An annual increase in O&amp;M expenses under a given head in excess of 20 percent should be explained</p> <p>III. The data should be based on audited balance sheets</p>						
<b>(B)</b>	<b>Breakup of corporate expenses (Aggregate)</b>					
	- Employee expenses					
	- Repair and maintenance					
	- Training and Recruitment					
	- Communication					
	- Travelling					
	- Security					
	- Rent					
	- Others					
	<b>Total</b>					
<b>(C)</b>	<b>Details of number of Employees</b>					
	i) Executives					
	ii) Non-Executives					
	iii) Skilled					
	iv) Non-Skilled					
	<b>Total</b>					

\*Details can be submitted in separate formats for different heads under Employee Cost



**Format- 12G****Name of the Applicant:****Name of the Generating Station:****Date of Commercial operation of the Generating Station:****ANNUAL REVENUE REQUIREMENT FOR THE YEAR \_\_\_\_\_****Generation Tariff Determination, Return on Equity and Tax on Income**

(Amount in Crore Rupees)							
SR. No.	Particulars	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
1	Gross Generation (MU)						
2	Auxiliary Consumption (MU)						
3	Net Generation (MU)						
4	Capacity Charges						
	a) Interest on Loan Capital						
	b) Depreciation						
	c) Advance Against Depreciation						
	d) O&M Expenses						
	e) Interest on Working Capital						
	f) Foreign exchange Rate Variation						
	g) Return on Equity						
	h) Taxes						
5	Energy/ Variable Charges*						
6	Total Expenses (4+ 5)						
7	Cost per Unit (3 / 6)						

\*Energy Charges as stated in Format 2.

Note:

1. Year 1 is the FY in which the last unit of the generating station started Commercial Operation.



GOVERNMENT OF PUDUCHERRY  
INDUSTRIAL DEVELOPMENT (POWER) DEPARTMENT

No. 21016/ID(P)D/09/P3/(2).

*Puducherry, the 19th April 2010.*

NOTIFICATION

The Joint Electricity Regulatory Commission (Appointment of Consultants) Regulations, 2009, notified by the Joint Electricity Regulatory Commission for the State of Goa and Union Territories, is hereby republished for general information of the public.

(By order)

S. ALPHONSE,

Under Secretary to Government (Power).

JOINT ELECTRICITY REGULATORY COMMISSION  
(For the State of Goa and Union Territories)

NOTIFICATION

Gurgaon, the 11th February, 2010

**No. JERC-8/2009.—**

In exercise of powers conferred on it by Section 181 of the Electricity Act, 2003 (36 of 2003), and all other powers enabling it in that behalf, the Joint Electricity Regulatory Commission, after previous publication, hereby makes the following regulations, namely:

**1, Short title and commencement**

- (1) These regulations may be called the Joint Electricity Regulatory Commission (Appointment of Consultants) Regulations, 2009.
- (2) These regulations shall come into force from the date of their publication in the Official Gazette.

**2. Definitions. —**

- (1) In these regulations unless the context otherwise requires: -

- (a) "Act" means the Electricity Act, 2003 (36 of 2003);
- (b) "Commission" means the Joint Electricity Regulatory Commission for the State of Goa and Union Territories;
- (c) "Consultant" includes any individual - not in the employment of the Commission, firm, body or association of persons, who or which possesses or has access to any specialized knowledge, experience or skill;
- (d) "Secretary" means the Secretary of the Commission.

- (2) Words or expressions occurring in these regulations and not defined herein but defined in the Act or in the Joint Electricity regulatory Commission (Conduct of Business) regulations, 2009 shall bear the same meaning as in the Act or in the said Conduct of Business Regulations.



### **3. Scope of Work**

The Commission may from time to time appoint consultants for executing specialized tasks for which skills are either not available within the staff of the Commission or where the nature of job is specific and time-bound or where the Commission considers appointment of consultant to be conducive or more efficacious and efficient method of completing the task in terms of quality, cost, time or on any other consideration.

- (1) The terms and conditions of engagement of consultants will be drawn up in each case and agreed to between the consultant and the commission prior to award of consultancy.
- (2) The terms of engagement would specify the exact nature of the tasks to be undertaken by the consultant, the time allowed for completion of each task and the specific outputs that are to be provided by the consultant in relation to each work.

### **4. Period of Appointment**

The consultant shall be appointed for the minimum period:

Provided that the period of initial appointment of a consultant on any specific assignment shall not normally exceed two years:

Provided further that period of appointment may be extended subject to the condition that the maximum period of continuous appointment of a consultant in no case shall exceed four years.

### **5. Categorisation of Consultants**

The consultants shall be categorized as: (a) Institutional consultants, and (b) Individual consultants.

### **6. Institutional Consultant**

Institutional consultant may be appointed where the Commission, on being satisfied that there is a need for availing consultancy services which, in its opinion, may be more appropriately provided by a firm, or a company or an association or body of persons.

### **7. Individual Consultant**

Individual consultant may be appointed for assignments for which teams of personnel are not required, where the experience and qualifications of the individual are of paramount consideration and the Commission is of the opinion that the consultancy services can be more efficiently performed by an individual, having regard to the qualifications and experience considered relevant for the assignment.



## 8. Categorization of Individual Consultants

- (1) Based on experience, individual consultants shall be categorized as

Category	Minimum Experience in the Area of Appointment
Advisors	15 years
Senior Consultants	10 years
Consultants	3 years

- (2) The Commission may prescribe minimum educational qualifications, depending on the nature of the work, and the relevant professional qualifications related to subject area of the consultancy.
- (3) The Commission may in appropriate case, for reasons to be recorded in writing, relax the educational qualifications, keeping in view the overall expertise of the person being considered for engagement as individual Consultant.

## 9. Fees and Other Charges in Case of Individual Consultants

- (1) Except where the Commission directs otherwise, the individual consultant shall be appointed generally on a consolidated fee at the rates specified in the Schedule.

Provided that the Commission may from time to time by an order in writing, direct revision of the rates of fee specified in the Schedule.

- (2) No payments in addition to the consolidated fee in accordance with sub-regulation (1) shall be made in the case of individual consultant:

Provided that the Commission may allow an additional amount not exceeding 10% of the fee payable to the consultant to cover expenditure of contingent nature.

- (3) Where the consultant has to incur expenditure on travel to and stay at a place away from the headquarters of the Commission, the Commission shall reimburse the cost of travel by an appropriate class, not lower than that permitted to a Group A Officer of the Central Government and authorize payment of Daily Allowance, as specified in the schedule, in addition to fee and other charges payable under these regulations, for such number of days as the Commission may consider appropriate.
- (4) The fee and other charges payable to individual consultants under these regulations shall also be payable to former and retired Government servants appointed as consultants.
- (5) In the case of an institutional consultant the rates for different categories of individual consultants will be used as a broad guide line to determine the reasonableness of costs



allocated to consultant time in the proposal. In addition to the costs for consultant time, amount allowable for overheads on account of office expenditure like telephone, photocopying, fax expenses etc. will be subject to negotiation and broadly be based on actual position regarding these expenditures. The limit for contingency in the case of Institutional consultant will be 10% of the fees payable for consultant time besides the amount allowed as overhead for office expenses.

#### **10. Appointment of Consultant**

- (1) The Commission, on being satisfied that there is a need to avail services of the consultant for any task, shall direct the Secretary to prepare or cause to be prepared the details terms of reference.
- (2) The Commission may decide either to invite combined technical and financial proposals or separate technical and financial proposals.
- (3) The Commission may prescribe the minimum qualifying marks for the technical bid.
- (4) The Secretary shall prepare or cause to be prepared the detailed terms of reference for the appointment of consultant for any specific task and shall obtain approval of the Commission.
- (5). The terms of reference shall be prepared to specify the objectives, goals and scope of the assignment and provide background information including a list of existing relevant studies and basic data to facilitate the consultant in preparation of his proposal:

Provided that the terms of reference shall also list the services and surveys necessary to carry out the assignment and the expected outputs (for example reports, data, surveys etc.) linked to each task included in the terms of reference.

Provided further that where transfer of knowledge, training is an objective, the terms of reference shall detail the number of staff to be trained.

- (6) The Secretary prior to processing the proposal for obtaining approval of the Commission shall ensure that the necessary budgetary provisions exist for the proposal to appoint consultant.
- (7) The scope of the services described in the TOR shall be compatible with the available budget.
- (8) After approval of the terms of reference by the Commission, the Secretary shall issue or cause to be issued the request for proposals to invite proposals for appointment as



consultant and give such publicity as may be considered appropriate by the Commission. Provided that the Commission may dispense with the process of issuing public advertisement where the fee payable for an assignment does not exceed Rs.5 lakhs.

### **11. Request for proposals**

The request for proposals shall include the following: -

- (1) A letter of invitation stating the intention of the Commission to enter into a contract for provision of consultancy services, the details of the plan and the date, time and address for submission of proposals.
- (2) Information to the consultants shall contain all necessary information that will help them to prepare responsive proposals by providing information on the evaluation process and by indicating the evaluation criteria and factors and their respective weights and the minimum pre-qualification score and special qualifying clause if any.
- (3) Terms of reference as prepared in regulation 10 (5) above.

### **12. Receipt of proposals**

- (1) The Commission shall prescribe the time within which the consultants shall submit their proposals.
- (2) The Commission may where considered appropriate extend the time limit for submission of proposals.
- (3) No amendment to the technical or financial proposals shall be accepted after expiry of the time limit.
- (4) The proposals shall be submitted in sealed cover.
- (5) Where the Commission prescribes that separate technical and financial proposals be submitted, they shall be submitted in separate sealed envelopes.

### **13. Evaluation of proposals**

- (1) The proposal shall be evaluated both on the basis of quality as well as cost.
- (2) The proposal shall be evaluated by a Committee appointed by the Commission.
- (3) Where the Commission decides that the technical and financial proposals be evaluated separately, the Committee shall not have access to the financial proposals, until evaluation of the technical proposals is completed.



#### 14. Technical Evaluation

- (1) Technical evaluation will be done by the Committee appointed under regulation 13(2) above taking into account the criteria given under sub-regulation (2) below.
- (2) Each criterion shall be marked on a scale of 1 to 100 and then the marks for each criterion shall be weighted to become average technical scores. Weights in the following ranges will be used by the Committee, with the approval of the Commission, to calculate the weighted average technical score for each proposal:-

Criterion	Range of Weights
Consultant's relevant experience for the assignment	0.10 to 0.40
Quality of the methodology proposed	0.20 to 0.50
Qualifications of the key staff proposed	0.30 to 0.60
Extent of transfer of knowledge to the staff of the Commission	0.05 to 0.35

Note: The mix of weights approved by the Commission will total to 1.

- (3) Where the assignment depends critically on the performance of the key staff, the proposal shall be evaluated on the qualifications of the individuals proposed to be appointed using the following criteria: -
  - (a) General qualifications: General education and training, length of experience, positions held, time with the consulting firm as staff, experience in developing countries etc.
  - (b) Adequacy for the assignment: Education, training, experience in the specific sector, field, subject and relevance to the particular assignment.
  - (c) Regional Experience: knowledge of the administrative system, organization and culture at the local / regional level.
- (4) After the technical evaluation is completed the Commission shall inform those Consultants whose proposals did not meet the minimum qualifying mark or were considered non-responsive to the terms of reference, and their financial proposals will be returned unopened after completing the selection process. The Commission shall have the right of distribution of marks on the basis of nature and requirement of the assignment.



Simultaneously, those Consultants who have secured the minimum qualifying marks shall be informed about the date and time for

opening the financial proposals, giving sufficient time for the Consultants to be present at the opening should they so desire.

### **15. Financial Evaluation**

- (1) The financial proposals of the pre-qualified Consultants will be opened by the committee in the presence of consultants or their representatives whose bids are shortlisted for financial evaluation. The proposed prices shall be read aloud and recorded in minutes of the proceedings.
- (2) The Secretary will cause a review of the financial proposals to be done. The cost will be converted to a single currency using uniform selling (exchange) rates.
- (3) The proposal with lowest cost will be given a financial score of 100 and other proposals given financial scores that are inversely proportional to their prices.

### **16. Evaluation of financial and technical scores**

- (1) The total score shall be obtained by weighting the technical and financial scores and adding them and the consultant with highest total score shall be invited by the Commission to enter into a contract within the prescribed time limit. The weight for the financial score shall be as prescribed by the Commission in each case taking into account the complexity of the assignment and the relative importance of quality. However, the weight will never exceed 0.3 for the financial score in any case.
- (2) The Commission may reject any or all proposals if they are found to be unresponsive or unsuitable either because they represent major deficiencies in complying with the terms of reference or they involve cost substantively higher than the original estimate.

### **17. Single source selection**

Single source selection may be resorted to by the Commission in appropriate cases where it represents a clear advantage because the tasks represent a natural continuation of previous work carried out by the consultant, or where an urgent selection is essential, or for small assignment where the fee payable does not exceed Rs. 5 lakhs or where only one firm is qualified or has experience for the assignment.

### **18. Selection of individual Consultants**

Individual consultants may be selected on the basis of their qualifications and experience for the assignment. They may be selected on the basis of references or from amongst those who are approached directly by the Commission. Their suitability shall be judged on the basis of



academic background, experience and, as appropriate, knowledge of local conditions, administrative system and government organization.

### **19. Conflict of interest**

Consultant shall not be hired for any assignment that would be in conflict with his prior or current obligations to other clients or that may place them in a position of not being able to carry out the assignments objectively and impartially.

### **20. Appointment of Consultants**

The consultant selected for appointment shall be required to execute an agreement in the format given at the end of these regulations, with such variations and modifications considered appropriate in individual cases.

### **21. Saving of inherent power of the Commission**

Nothing in these provisions shall bar the Commission from adopting a procedure which is at variance with any of the provisions of these Regulations, if the Commission, in view of the special circumstances of the matter or class of matters and for reasons to be recorded in writing, deems it necessary or expedient to depart from the procedure prescribed in these Regulations.

### **22. General power to amend**

The Commission may at any time and on such terms, as it may think fit, amend any provision of these Regulations for the purpose of meeting the objectives with which these Regulations have been framed.

### **23. Power to remove difficulties**

If any difficulty arises in giving effect to any of the provisions of these Regulations, the Commission may, by general or special order, do anything, not being inconsistent with the provisions of the Act, which appears to it to be necessary or expedient for the purpose of removing the difficulties.

J. S. SEHRAWAT, Secy.  
[ADVT III/4/218-I/09-Exty.]



**SCHEDULE**

## Fee for Individual Consultants

Category	Maximum Fee per man-day	Daily Allowance*
Advisors	Rs. 5000	Actual for boarding and lodging expenses
Senior Consultants	Rs. 4,000/-	Actual for boarding and lodging expenses
Consultants	Rs. 2,000/-	Actual for boarding and lodging expenses

\* **Note:** The Commission reserves the right to specify the exact amounts permissible as daily Allowance, determine the reasonable limits within which actual expenses are to be allowed, on a case-to-case basis, and assess the reasonableness of any claim submitted thereof.

**SCHEDULE**

Articles of Agreement made on this \_\_\_\_\_ day of \_\_\_\_\_ between \_\_\_\_\_ of \_\_\_\_\_ of one (first) part (Consultant) and the Joint Electricity Regulatory Commission (herein after called "the Commission") of the other (Second) part.

Whereas the Commission has engaged the party of the first part as a Consultant and the party of the first part has agreed, to provide the consultancy services to the Commission, on the terms and conditions herein after contained.

Now these presents witness and the parties hereto respectively agree as follows:

- 1) The party of the first part (Consultant) shall submit himself to the orders of the Commission and of the officers and authorities under whom he may from time to time be placed by the Commission.



- 2) The party of the first part (Consultant) shall complete the assignment as contained in Schedule – 'A' within a period of \_\_\_\_\_ commencing from \_\_\_\_\_
- 3) The party of the first part (Consultant) shall be paid as under
- 4) The schedule of payments shall be as under
- 5) No TA/DA shall be admissible to the party of the first part for local journeys in connection with the consultancy assignment. (may be varied depending on terms agreed for any individual assignment)
- 6) The payment of fee shall be made by the Commission after the deduction of tax at source in accordance with law for the time being in force.
- 7) Any information of confidential nature, which comes to the knowledge or into the possession of the consultant or of any its employees by virtue of the engagement subject matter of this contract shall not be disclosed by the consultant or its employees to any unauthorized person in any manner. Any breach of this clause without prejudice to any other action that may be initiated according to law, shall also subject the consultant to a liability to pay to the Commission such compensation as may be decided by the Commission keeping in view the nature, manner and motive of the information disclosed and the extent of the damage caused by such unauthorized disclosure.
- 8) The party of the first part undertakes that this assignment shall not be in conflict with its prior or current obligation to other clients nor shall it place itself in a position of not being able to carry out the assignments objectively and impartially.
- 9) In case of any default on the part of the party of the first part in completion of the work within time schedule agreed to between the parties as herein above, the party of the second part (the Commission) shall be at liberty to get the work completed from any other agency at the risk and cost of the party of the first part (Consultant).
- 10) The Commission reserves its right to foreclose, terminate or cancel the engagement of the consultant without assigning any reasons. In such cases party of the first part (Consultant) shall be paid remuneration after taking into consideration the portion of work completed prior to such foreclosure, termination or cancelation of the engagement as may be decided by the Commission and the decision of the Commission shall be conclusive and binding. The remuneration so fixed and paid shall be deemed to be the final payment in such cases.
- 11) In case of any differences or disputes between the parties arising out of this AGREEMENT, the same shall be referred for arbitration of a person nominated by the Commission. The proceedings shall be subject to the Arbitration and Conciliation Act 1996, as amended from time to time.



## 12) Consultant's Personnel

The party of the first part (Consultant) shall provide Description of personnel with names, position and qualifications.

## 13) Removal and/or replacement of the personnel

Except as the Commission may otherwise agree, no change shall be made in the key personnel. If, for any reason, beyond the reasonable control of the Consultant, it becomes necessary any of the key personnel, the Consultant shall forthwith provide as a replacement a person of equivalent or better qualifications, which is acceptable to the Commission.

- 14) If the Commission finds that any of the personnel (1) committed serious misconduct or has been charged with having committed a criminal action or (2) have reasonable cause to be dissatisfied with the performance of any of the personnel, then the Consultant shall, at the Secretary's written request, specifying the ground therefore, forthwith provides as a replacement a person with qualification and experience acceptable to the Commission.

The Consultant shall have no claim for additional costs arising out of or incidental to any removable and /or replacement of personnel.

## 15) Nodal Person of the party of the first part (Consultant) Mr. \_\_\_\_\_

- 16) The Secretary, Joint Electricity Regulatory Commission, shall be the Nodal Officer on behalf of the Commission.

## 17) Any other terms and conditions

- 18) In respect of any matter for which no provision has been made in this agreement, the provisions contained in the general instructions of the Government of India on the subject of engagement of consultants shall apply.

IN WITNESS WHERE OF the party of the first part (Consultant) and \_\_\_\_\_ to the Commission on behalf of the Commission have hereto put their hands on the day and the year first above written.

Signed by \_\_\_\_\_ the party of the first part in the presence of \_\_\_\_\_

Signed by \_\_\_\_\_ to the Commission for and on behalf of the Commission in the presence of \_\_\_\_\_

\_\_\_\_\_



GOVERNMENT OF PUDUCHERRY  
**INDUSTRIAL DEVELOPMENT (POWER) DEPARTMENT**

*No. 21016/ID(P)D/09/P3/(3).*

*Puducherry, the 19th April 2010.*

NOTIFICATION

The Joint Electricity Regulatory Commission (Open Access Transmission and Distribution) Regulations, 2009, notified by the Joint Electricity Regulatory Commission for the State of Goa and Union Territories, is hereby republished for general information of the public.

(By order)

S. ALPHONSE,

Under Secretary to Government (Power).

**JOINT ELECTRICITY REGULATORY COMMISSION**  
**(For the State of Goa and Union Territories)**

NOTIFICATION

Gurgaon, the 11th February, 2010

**No. JERC-9/2009.**—In exercise of the powers conferred on it by Section 181 of the Electricity Act, 2003 (36 of 2003) and all the powers enabling it in this behalf, the Joint Electricity Regulatory Commission for the State of Goa and the Union Territories, after previous publication, hereby makes the following regulations, namely :-

**1. Short Title, Commencement and Extent**

- (i) These regulations may be called the Joint Electricity Regulatory Commission for the State of Goa and Union Territories (Open Access in Transmission and Distribution) Regulations, 2009.
- (ii) These regulations shall come into force from the date of their publication in the Official Gazette.
- (iii) These regulations extend to the whole of the State of Goa and the Union Territories of Andaman and Nicobar Islands, Lakshadweep, Dadra & Nagar Haveli, Daman & Diu, Puducherry and Chandigarh.

**2. Definitions**

- (1) In these regulations, unless the context otherwise requires:
  - (a) "Act" means the Electricity Act, 2003 (36 of 2003);



- (b) "Commission" means the Joint Electricity Regulatory Commission for the State of Goa and the Union Territories;
  - (c) "existing beneficiary" means a person who is a user of the transmission system or distribution network on the date of commencement of these regulations either as a generating company or as a transmission licensee or distribution licensee;
  - (d) "nodal agency" means the nodal agency defined in Regulation 8 of these regulations;
  - (e) "open access user" means a person permitted to use intra-State transmission system or receive supply of electricity from a person other than the distribution licensee of his area of supply, and the expression includes a generating company and a licensee, who has availed of or intends to avail of open access;
  - (f) "State" means the State of Goa, and includes a Union Territory, but does not include the Union Territory of Delhi.
- (2) Words and expressions occurring in these regulations and not defined herein but defined in the Act shall bear the same meanings as respectively assigned to them in the Act and the words and expressions used herein but not specifically defined herein or in the Act shall have the meanings generally assigned to them in the electricity industry.
- 3. Categorization of Open Access Users**
- (i) The open access users shall be divided into two categories, namely: -
    - (a) Long-term open access users, and
    - (b) Short-term open access users.
  - (ii) The persons availing or intending to avail open access for a period of twenty-five years or more shall be the long-term open access users:

Provided that the existing beneficiaries shall be deemed to be the long-term open access users of the transmission system or the distribution network, as the case may be.
  - (iii) The open access users other than the long-term open access users shall be the short-term open access users:

Provided that the maximum duration for the short-term open access allowed at a time shall not exceed one year:

Provided further that the short-term open access users shall be eligible and re-eligible to obtain fresh reservation after expiry of their term.



**4. Publication of Details of Existing Beneficiaries**

The transmission /distribution licensees shall publish the details of the existing beneficiaries (including self-use and use by unbundled agencies which were previously integrated) either on their own website or on the website of the State Load Dispatch Centre within 180 days from the date of commencement of these regulations.

**5. Criteria for Long-term and Short-term Open Access**

- (i) Long-term open access shall be allowed in accordance with the transmission planning criterion stipulated in the State Grid Code.
- (ii) Short-term open access shall be allowed, if the request for open access can be accommodated by utilizing: -
  - a) Inherent design margins
  - b) Margins available due to variation in power flows; and
  - c) Margins available due to in-built spare transmission capacity created to cater to future load growth.

**6. Future Requests for Open Access**

All future requests for use of the transmission system and distribution network shall be handled in accordance with these regulations.

**7. Allotment Priority of Long-term Open Access User**

Allotment priority of a long-term open access user shall be higher than reservation priority of a short-term open access user:

Provided that within a category (long-term open access users or short-term open access users), there shall be no discrimination between open access users and self-use by an integrated entity.

**8. Nodal Agency**

- (i) The nodal agency for arranging the long-term open access within the State shall be the State Transmission Utility (STU).
- (ii) The nodal agency for the short-term open access within the State shall be the State Load Dispatch Centre (SLDC).

**9. Detailed Procedure**

The nodal agency shall issue detailed procedure, guidelines, and the form of application within 30 days from the date of commencement of these regulations.



**10. Procedure for Long-Term Open Access**

- (i) An application for long-term open access shall be submitted to the concerned nodal agency in accordance with the detailed procedure issued under Regulation 9.
- (ii) The application shall contain the details, such as capacity needed, point(s) of injection, point(s) of drawal, duration of availing open access, peak load, average load and such other additional information that may be specified by the nodal agency;
- (iii) The application shall be accompanied by a non-refundable application fee of Rs fifty thousand payable in the name and in the manner to be decided by the nodal agency;
- (iv) Based on system studies conducted by the nodal agency in consultation with other agencies concerned, including other transmission and distribution licensees, the nodal agency shall, within 30 days of receipt of the application, intimate to the applicant whether or not the long-term open access can be allowed without further system strengthening:

Provided that where the long-term open access can be allowed without further system strengthening, this shall be allowed immediately after entering into commercial agreements.

- (v) If, in the opinion of the nodal agency, further system strengthening is essential before providing the long-term access, the applicant may request the nodal agency to carry out the system studies and preliminary investigation for the purpose of cost estimates and completion schedule for system strengthening;
- (vi) The nodal agency shall carry out the studies immediately on receipt of request from the applicant under sub-regulation (v) and intimate results of the studies to the applicant within 90 days of receipt of request .
- (vii) The applicant shall reimburse the actual expenditure incurred by the nodal agency for carrying out the system studies and preliminary investigation for the purpose of cost estimates and completion schedule for system strengthening;

Provided that the fee of Rupees fifty thousand paid by the applicant shall be adjusted against the actual expenditure to be reimbursed by the applicant.

**11. Bulk Capacity Agreement**

- (i) A long-term open access user shall enter into Bulk Power Transmission / Distribution Capacity Agreement with the transmission / distribution licensee for use of their transmission system and distribution network.
- (ii) The agreement shall provide, amongst other things for the eventuality of premature its termination and its consequences on the contracting parties.
- (iii) After agreement has been entered into and copies furnished to State Load Dispatch Centre, the State Load Dispatch Centre shall inform the open access user the date from which open access is likely to be available:

Provided that the date of availability of open access shall not be later than 3 days from the date of furnishing of agreements.



**12. Exit Option**

- (i) A long-term open access user shall not relinquish or transfer his rights and obligations under the Bulk Power Transmission / Distribution Capacity Agreement, without prior approval of the Commission.
- (ii) The relinquishment or transfer of rights and obligations by a long-term open access user shall be subject to payment of compensation, as may be determined by the Commission.

**13. Procedure for Short-Term Open Access**

- (i) A short-term open access user shall submit an application for transmission/distribution access to the State Load Dispatch Centre.
- (ii) The application shall contain the details such as capacity needed, point(s) of injection, point(s) of drawal, duration of availing open access, peak load, average load and such other additional information that may be specified by the State Load Dispatch Centre;
- (iii) The application shall be accompanied by a non-refundable application fee of Rupees five thousand payable in the name and in the manner to be decided by the State Load Dispatch Centre;
- (iv) The reserved capacity shall not be transferred by a short-term open access user to any other person.

**14. Reservation of Capacity for Short-term Users**

- (i) In case of short-term open access users, at given point of time, if the capacity sought to be reserved is less than the available capacity, each short-term open access user shall pay the transmission or wheeling charges in accordance with Regulation 16.
- (ii) In case of short-term open access, if the capacity sought to be reserved by the open access users is more than the available capacity at that point of time, reservation of capacity shall be considered in accordance with the following procedure, namely –
  - (a) The State Load Dispatch Centre concerned shall invite snap bids through fax/e-mail.
  - (b) The floor price for the bidding shall be the price determined in accordance with Regulation 16.
  - (c) The bidders shall quote price in terms of percentage points above the floor price.
  - (d) The reservation of capacity shall be made in decreasing order of the price quoted.



- (e) In case of equal price, if required (e.g., due to capacity being short), the reservation of capacity shall be made *pro rata* to the capacity sought.
- (f) The open access user getting reservation for a capacity less than the capacity sought by him shall pay charges for the capacity allotted at the rate quoted by him.
- (g) The State Load Dispatch Centre shall, within 45 days, formulate a detailed procedure for reservation of transmission and distribution capacity to short-term open access users, including the detailed procedure for bidding.

**15. Non-Utilization of Reserved Capacity by Short-Term Open Access User**

- (i) In case a short-term open access user is unable to utilize, full or substantial part of the reserved capacity, he shall inform the State Load Dispatch Centre along with reasons for his inability to utilize the reserved capacity and may surrender the reserved capacity;
- (ii) The State Load Dispatch Centre may reduce or cancel the reserved capacity of a short-term open access user when such a short-term open access user frequently under-utilizes the reserved capacity;
- (iii) The short-term open access user, who has surrendered the reserved capacity under sub-regulation (i) or whose reserved capacity has been reduced or cancelled under sub-regulation (ii), shall bear the transmission / wheeling charges and the scheduling and system operation charge based on the original reserved transmission capacity for seven days or the period of reservation surrendered or reduced or cancelled, as the case may be, whichever period is shorter.
- (iv) The capacity available as a result of surrender or reduction or cancellation of the reserved capacity by the State Load Dispatch Centre under sub-regulation (i) or sub-regulation (ii), may be reserved for any other short-term open access user in accordance with these regulations.

**16. Open Access Charges**

The charges for open access shall consist of one or more of the following components, namely:-

**(i) Transmission / Distribution (Wheeling) Charges**

The charges for use of the system of the licensee for intra-State transmission or distribution except intervening transmission facilities shall be regulated as under, namely:-

- (i) The annual charges shall be determined by the Commission in accordance with the terms and conditions of tariff notified by the Commission from time to time and after deducting the adjustable revenue from the short-term



open access users, these charges shall be shared by the long-term open access users;

- (ii) (a) The charges payable by a short-term open access user shall be calculated in accordance with the following methodology:

$$\text{ST RATE} = 0.25 \times [\text{TSC} / \text{Av CAP}] / 365$$

Where:

ST RATE is the rate for short-term open access user in Rs per MW per day.

"TSC" means the Annual Transmission / Distribution Charges of the transmission or distribution licensee for the immediately preceding financial year.

"Av CAP" means the average capacity in MW served by the system

The capacity of the transmission licensee in the previous financial year and shall be the sum of the generating capacities connected to the transmission system and contracted capacities of other transactions handled by the system of the transmission licensee.

The capacity of the distribution licensee in the previous financial year shall be the sum of the distributed load for the licensee.

- (b) The transmission charges payable by a short-term open access user in case of un-congested transmission corridor shall be levied as under, namely:-

- (1) Up to 6 hours in a day in one block: 1/4th of ST RATE
- (2) More than 6 hours and up to 12 hours in a day in one block: ½ of ST RATE
- (3) More than 12 hours and upto 24 hours in a day in one block: equal to ST RATE

- (c) Every licensee shall declare rate in Rs per MW per day, which shall remain fixed for a period of one year:

Provided that where reservation of capacity has been done consequent to bidding in the manner specified in Regulation 6, the ST RATE shall be taken as the floor price for bidding.

- (iii) 25% of the charges collected from the short-term open access users shall be retained by the open access providers (electrical lines) and the balance 75% shall be adjusted towards reduction in the charges payable by the long-term open access users (electrical lines).
- (iv) The rates, charges and terms and conditions for providing the use of intervening transmission facilities may be mutually decided by the licensees:



Provided that any dispute on the extent of surplus capacity available or disagreement on the rates, charges and terms and conditions, shall be adjudicated upon by the Commission. However the rates, charges and terms and conditions shall be fair and reasonable and may be allocated in proportion to the use of such facilities.

**(ii) Cross-Subsidy Surcharge**

In addition to transmission charges and wheeling charges, a consumer availing open access to the transmission system or the distribution network shall pay the cross-subsidy surcharge.

The open access users, except those availing open access facility to transfer power from their captive generating plants to the destination of their own use, shall pay the cross-subsidy surcharge to the distribution licensee of their area, as determined by the Commission from time to time under sub-section (2) of Section 42 of the Act, in accordance with the National Electricity Policy and Tariff Policy.

The amount of surcharge shall be so calculated as to meet the current level of cross-subsidy from that category of consumers and shall be paid to the distribution licensee of area of supply where the consumer is located. In case surcharge so calculated is negative, it shall be treated as nil.

**(iii) Additional Surcharge**

- (a) A consumer availing open access and receiving supply of electricity from a person other than the distribution licensee of his area of supply shall pay to the distribution licensee an additional surcharge, in addition to wheeling charges and cross-subsidy surcharge, to meet the fixed cost of such distribution licensee arising out of his obligation to supply as provided under sub-section (4) of section 42 of the Act.
- (b) The additional surcharge for obligation to supply shall become payable only if it is conclusively demonstrated that the obligation of a licensee, in terms of existing power purchase commitments, has been and continues to be stranded, or there is an unavoidable obligation and incidence to bear fixed costs consequent to such contract.
- (c) The distribution licensee whose consumer intends to avail open access shall submit to the Commission within thirty days of receipt of application an account of fixed cost paid by such open access user which the licensee is incurring towards his obligation to supply and demonstrate if any part of the fixed cost has become stranded.
- (d) The Commission shall scrutinize the statement of accounts submitted by the licensee and obtain objections, if any, of the consumer and determine the amount of additional surcharge, if any, payable by the consumer.



- (e) The additional surcharge shall be liable for such period not normally exceeding one year as the Commission may determine.

**(iv) Scheduling and System Operation Charges**

- (a) The scheduling and system operation charges payable to State Load Dispatch Centre by long-term open access users shall be same as determined by the Commission in accordance with the Regulations that may be notified by it under Section 32 of the Act.
- (b) The scheduling and system operation charges of Rs.1000/-per day or part of the day shall be paid by a short-term open access user to State Load Dispatch Centre
- (c) The scheduling and system operation charges collected by the State Load Dispatch Centre in accordance with sub-regulation (b) above shall be in addition to charges determined by the Commission under Section 32 of the Act. These will be however adjusted in the subsequent ARR of SLDC.

**Explanation**

Scheduling and system operation charges shall be payable by a supplier as well as his consumer availing open access under these Regulations.

**(v) Reactive Energy Charges**

The payment for the reactive energy charges for the open access user shall be calculated in accordance with the scheme applicable.

**(vi) Other Charges**

In addition to the charges specified under clauses (i) to (v), any other charges as may be specified by the Commission from time to time shall be payable by the open access user.

**17. Unscheduled Interchange Charges under Intra-State Availability Based Tariff (ABT)**

The commercial settlement of Unscheduled Interchange charges (UI charges) under intra- State ABT shall be in the manner applicable for Inter-State transactions with the following additions/variations:-

Under section 9 of Electricity Act, 2003, Captive power plants are entitled for open access without payment of cross-subsidy surcharge, to carry their generation to the point of their own use. In addition to this:

- (i) A generating station with a total capacity of generation up to 15 MW may operate under UI regime and inject power into the state pool and will be paid for such injection of generation into grid at the UI rate from the state pool account.
- (ii) However the generating stations with a total capacity above 15 MW shall be regulated as follows according to CERC stipulations to avoid gaming:



- (a) Any generation up to 105% of the declared capacity in any time block of 15 minutes and aggregated averaging up to 101% of the average declared capacity over a day shall not be construed as gaming, and the generator shall be entitled to UI charges for such excess generation above the declared capacity scheduled generation (SG).
- (b) For any generation beyond the prescribed limits, the State Load Dispatch Centre shall investigate so as to ensure that there is no gaming, and if gaming is found by the State Load Dispatch Centre, the corresponding UI charges due to the generating station on account of such extra generation shall be reduced to zero and the amount shall be adjusted in UI account of beneficiaries in the ratio of their capacity share in the generating station.
- (iii) A consumer opting for open access shall continue to be treated according to the rules applicable to a normal consumer in the equivalent category of the distribution licensee. Thus he will be penalized for deviating from his scheduled drawal which may be detrimental to the grid either by way of frequency or voltage of the grid. At the same time he will not be paid any UI charges for changing his schedule even if it be helpful to the grid.

#### **18. Security Deposit and Other Commercial Conditions**

- (i) As a payment security towards charges for open access of more than 3 months, a deposit equal to 3 months of the average billing on the basis of agreed contract demand or scheduled drawal shall be maintained with the State Transmission Utility.
- (ii) As a payment security towards SLDC charges for open access of more than 3 months, a deposit equal to 3 months of the SLDC charges shall be maintained with the State Load Dispatch Centre.
- (iii) As a payment security for open access of more than 3 months towards wheeling charges, surcharge and additional surcharge, a deposit equal to 3 months of average billing for these charges shall be maintained with the distribution licensee of the area of supply.

Provided that for open access less than 3 months, payment security shall be advance payment for the duration of the open access pertaining to the charges as mentioned in this Regulation in sub-regulation (i), (ii) and (iv).

- (iv) Such security could be in form of cash deposit, letter of credit etc. However for open access less than 3 months, such security shall be only in form of cash deposit.
- (v) Other commercial conditions for transmission & wheeling charges and scheduling and system operation charges, such as, terms of payment, creditworthiness, indemnification, and force majeure conditions shall be standardized within 60 days by the State Transmission Utility for long-term open access user and by the State Load Dispatch Centre for the short-term open access users.



**19. Energy losses**

The open access user shall bear average energy losses in the transmission system and distribution network as specified by the Commission in proportionate to its drawal. The loss in the transmission system and distribution network shall be compensated by additional injection at the injection point(s).

**20. Special Energy Meters**

- (i) The open access user shall provide ABT compatible Special Energy Meter as Main Meter capable of time differentiated measurements (15 minutes) of active energy and voltage differentiated measurement of reactive energy as may be specified by the State Transmission Utility or the State Load Dispatch Centre which shall be according to the Metering Code as may be specified by Central Electricity Authority based on voltage, point and period of supply and tariff category.
- (ii) Main meters shall always be maintained in good condition and shall be open for inspection by any person authorized by the nodal agency.
- (iii) The concerned licensee may provide check meters of the same specifications as main meters.
- (iv) The main and check meters shall be periodically tested and calibrated by the concerned licensee in the presence of other party involved. Main and check meters shall be sealed by both parties. Defective meter shall be replaced immediately.
- (v) Reading of main and check meters shall be taken periodically at appointed day and hour by authorized officer of the concerned licensee, the generator and the open access user or his representative, as the case may be. Meter reading shall be communicated to SLDC, the open access user and the generating company or trader, as the case may be, by the distribution licensee, within 12 hours of meter reading.
- (vi) Readings of the check meters shall be considered when main meters are found to be defective or stopped. Both the main meter and check meter shall be tested for accuracy if difference between the readings of main and check meters vis-à-vis main meter reading exceed twice the percentage errors permissible for relevant accuracy class. The meter found defective shall be replaced immediately.
- (vii) If during the test checks or otherwise, both the main meters and the corresponding check meters are found to be beyond permissible limits of error as per the IS specifications, both the meters shall be immediately calibrated and the correction applied to the generation of energy registered by the main meter to arrive at the correct generation of energy registered by



the main meter to arrive at the correct generation of energy for billing purposes for the period of the month up to the time of such test check. Billing for the period thereafter until the next monthly meter reading shall be as per the calibrated main meter.

- (viii) If an open access user requires the licensee to provide main meter it shall provide security to the licensee and shall pay for its rent. The meter shall be maintained by the licensee.

**21. Time-schedule for Processing Application For Open Access**

As far as practicable, the following time schedule shall be adhered to by the nodal agency for processing of the application for grant of open access:

**1. Short-term Open Access**

Up to one week - 2 days  
More than a week - 3 days

**2. Long-term Open Access**

Intimation regarding feasibility of access without system strengthening - 30 days

Intimation of results of system strengthening studies with cost estimates and completion schedule - 90 days

**22. Curtailment Priority**

When because of transmission or distribution capacity constraints or otherwise, it becomes necessary to curtail the the open access already granted, the short-term open access users shall be curtailed first, followed by the long-term open access users:

Provided that within a category, all users shall have same curtailment priority and shall be curtailed *pro rata* to the allotted capacity in the case of long term open access users and the reserved capacity in the case of short-term open access users.

**23. Compliance of State Grid Code**

The open access user shall abide by the State Grid Code, as applicable and instructions given by State Transmission Utility and State Load Dispatch Centre from time to time.

**24. Collection and Disbursement of Charges**

- (a) In case of open access to consumer, the concerned distribution licensee (or the concerned transmission licensee if the consumer is directly connected to its network), may invoice a consumer in respect of the open access charges (such as



Transmission Charges/Wheeling Charges/Cross Subsidy Surcharge/ Additional Surcharge, as the case may be) as set out in Regulation 15 and the open access user shall pay those charges, in accordance with the procedures set out in the Bulk Capacity Agreement between the licensees and the user:

Provided that the distribution licensee and transmission licensee shall have appropriate back-to-back arrangements in place in order to pass on Open Access Charges, pertaining to the concerned Licensees.

- (b) The scheduling and system operation charges in respect of open access shall be paid to the State Load Dispatch Centre by the Open Access users.
- (c) The Unscheduled Interchange charges shall be paid in the manner as directed by the State Load Dispatch Centre on weekly basis.

## **25. Phasing of Open Access**

- (i) Open access shall be allowed in the phase I to all consumers requiring a supply of electricity where the maximum power to be made available at any time exceeds 1 MW subject to the satisfaction of the conditions contained in the Act and these regulations:
- (ii) The Commission may allow open access to consumers requiring up to 1 MW contract demand at any time as it may consider feasible having regard to operational constraints, other factors and based on experience of operations of open access in phase I.

## **26. Information System**

The State Load Dispatch Centre shall post following information on their websites in a separate web-page titled "Open access information":

- (i) Floor rate in rupees per MW per day for the short-term open access users (ST\_RATE)
- (ii) A status report on the current short-term open access users indicating:-
  - (a) Name of open access user;
  - (b) Period of the access granted (start date and end date);
  - (c) Point(s) of injection;
  - (d) Point(s) of drawal;
  - (e) Transmission / Distribution systems used (in terms of region and ownership);
  - (f) Reserved capacity; and
  - (g) Applicable rate (Rs per MW per day).

**Note:** The status report shall be updated upon every change in status.



(iii) Month-wise and year-wise report on past short-term open access users indicating:

- (a) Name of the open access user;
- (b) Period of the access granted (start date and end date);
- (c) Point(s) of injection;
- (d) Point(s) of drawal;
- (e) Transmission / Distribution systems used;
- (f) Reserved capacity;
- (g) Applicable rate (Rs per MW per day); and
- (h) Actual load factor.

**Note:** All previous reports shall also be available in the web-archives.

(iv) Information regarding usage of the links between various State licensees indicating:

- (a) Time of updating;
- (b) Name of the link;
- (c) Total capacity of the link;
- (d) Scheduled capacity use (giving open access user-wise break-up); and
- (e) Current capacity of the link in use.

**Note:** This information should be updated at least on hourly basis, and wherever feasible on 15 minute basis.

(v) The information regarding average energy losses for the previous 52 weeks:

Provided that publication of web-based information system shall commence within 180 days of coming into force of these Regulations. Each transmission / distribution licensee shall make available the above information to the SLDC.

All licensees shall declare current long-term open access users using their system (including self-use and use by unbundled entities which are presently or were previously integrated) with details thereof either on their own websites or on the website of the State Load Dispatch Centre concerned, within 180 days.

**Note:** This list shall be updated as and when change in status takes place.

## **27. Communicating facility**

The open access users shall meet the communication requirements as the nodal agency may direct from time to time.

## **28. Redressal Mechanism**

- (i) All disputes and complaints relating to open access shall be made to the State Load Dispatch Centre, which may investigate and endeavor to resolve the grievance within 30 days, and



- (ii) Where State Load Dispatch Center is unable to resolve a grievance, State Grid Code Review Committee constituted under State Grid Code shall endeavor to resolve the grievance within 30 days, and
- (iii) Where State Grid Code Review Committee has not been constituted or is unable to resolve the grievance in the time period specified above, the grievance shall be referred to the Commission.
- (iv) The responsibilities assigned to the State Load Dispatch Centers for formulation of procedures, guidelines and application forms under these regulations shall be coordinated by the State Transmission Utility.

**29. Powers to Remove Difficulties**

If any difficulty arises in giving effect to any of the provisions of these regulations, the Commission may by general or special order, direct the State Transmission Utility, State Load Dispatch Centre, licensees and the open access user, to take such action, as may appear to the Commission to be necessary or expedient for removing the difficulty.

**30. Operationalisation of Open Access**

Open access will require installation of ABT compliant metering system by the open access users, Distribution Licensee-wise Area Load Dispatch Centers and procedure for energy accounting and commercial settlement by SLDC.

J.S. SEHRAWAT,  
Secretary.  
[ADVT III/4/218-I/09-Exty.]